



**DEPARTMENT OF THE NAVY**  
NAVAL SERVICE TRAINING COMMAND  
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NSTCINST 5040.1A  
OD  
11 Aug 09

NSTC INSTRUCTION 5040.1A

From: Commander, Naval Service Training Command

Subj: NAVAL RESERVE OFFICERS TRAINING CORPS INSPECTION/SELF  
ASSESSMENT PROGRAM

Ref: (a) [SECNAVINST 5040.3A](#)  
(b) NETCINST 5040.1B  
(c) [NSTCINST 1533.2](#)  
(d) NETCINST 5200.1

Encl: (1) [NROTC Self Assessment Guide](#)  
(2) [NROTC Command Self Assessment Report \(Sample Format\)](#)

1. Purpose. To establish objectives, assign responsibilities, and prescribe procedures for conducting and reporting on inspections/self assessments conducted under the Naval Reserve Officers Training (NROTC) Program Inspection/Self Assessment Program.

2. Cancellation. NSTCINST 5040.1.

3. Scope. This instruction applies to all NROTC units and Departments of Naval Science (DNS).

4. Background

a. This is a major revision and significantly revises NSTCINST 5040.1. It should be read carefully in its entirety.

b. The instruction reflects the inspection policies delineated in references (a) through (d).

5. Objectives

a. Evaluate the readiness, effectiveness, and efficiency of the inspected unit to perform assigned mission, functions, and tasks.

b. Assess the adequacy of resources available to the unit in the performance of assigned mission, functions, and tasks.

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c. Evaluate the effect of any deficiencies, either in administration or resources, on the ability of the unit to perform its assigned mission, functions, and tasks.

d. Evaluate management practices of the unit/DNS.

e. Recommend, through the chain of command, appropriate action to correct deficiencies.

f. Verify compliance with directives and requirements of higher authority.

6. Policy. NROTC unit Commanding Officers (COs) and DNS Officers in Charge (OIC) will conduct annual self assessments. Naval Service Training Command (NSTC) Officer Development (OD) Inspection and Standards Office (ODM) will conduct triennial NROTC Unit/DNS inspections.

7. Action

a. NROTC Unit/DNS

(1) Use enclosure (1) and Appendix A to conduct annual self assessments, and Appendices B through D to document reviews of performance, student medical, and dental records. Review all Assessable Units and document results on enclosure (1) and Appendix A, including summarized findings annotated on Appendices B through D. The documentation must be thorough enough so that anyone reading enclosure (1) will understand exactly what was found during the review. In most cases, yes/no answers will not be explicit enough to document findings. Enclosure (1) has been formatted in Microsoft Word (Tables) for ease in entering data. NSTC ODM will email enclosure (1) to you upon request, if not available.

(2) Discrepancies that can be corrected prior to preparing the formal NROTC self assessment reports, should be corrected. Report only on those Assessable Units that are in need of corrective action. Indicate on enclosure (1) what action is being taken. Also, include those assessable units where a significant major accomplishment was noted. Retain the documentation of the most current reviews for the triennial ODM inspection.

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(3) Use enclosure (2) to prepare the formal NROTC self assessment report. Forward, via regular mail, the appropriate Assessable Unit section of enclosure (1) and Appendix A as attachments to enclosure (2) to NSTC ODM. Maintain Appendices B through D as supporting documentation at the unit. In addition, email only enclosure (2) to NSTC ODM.

(4) The self assessment is due to NSTC ODM annually by 1 June.

b. NSTC ODM

(1) Review self assessment reports submitted by units/DNS and provide a copy to NSTC Inspector General (IG).

(2) Monitor ongoing corrective action items, if the corrective action plan is not provided by the anticipated date of completion, take appropriate follow-up action. Forward a copy of the corrective action to NSTC IG.

(3) Review program data reported in the self assessment reports for compliance with program regulations and higher authority instruction.

(4) Review data from audits/examinations/reviews/management studies conducted by other organizations (such as, Procurement Management Review (PMR), etc.).

(5) Conduct assist visits (triennial inspections) and provide a report of the results to the CO of the NROTC Unit with a copy to Director, NSTC OD and NSTC IG.

(6) Conduct unplanned onsite performance standards visits, as needed, if problems/inconsistencies are detected. Provide a report of the visit to the CO of the NROTC Unit with a copy to Director, NSTC OD and NSTC IG.

8. Oversight. In accordance with reference (c), NSTC ODM will review and retain all NROTC Unit/DNS self assessments.

9. Privileged Nature of Self Assessments. In addition to being identified as "For Official Use Only," the following caveat shall be included on all self assessment reports:

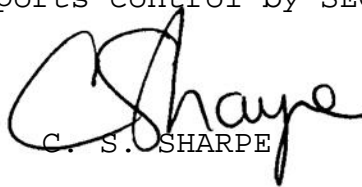
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"The information contained herein relates to internal practices of the Department of the Navy and is a privileged internal communication. This report is not releasable, nor may its contents be disclosed outside of original distribution, nor may it be reproduced in whole or in part, without prior written approval of the NSTC ODM and NSTC Inspector General. Per reference (a), requests for this report, portions thereof, or correspondence related thereto from a source external to the Department of the Navy shall be promptly referred to the Naval Inspector General for Navy Department coordination and clearance. Holders of this report shall strictly observe this caveat."

10. NROTC Self Assessment Guide. The Guide is included as enclosure (1). Activities are encouraged to use the guide as an everyday management tool and guide for operations within the respective inspection areas. Recommended changes, additions, and deletions to the guide are welcomed.

11. Managers' Internal Control (MIC) Program (MICP). Reference (d) provides Naval Education Training Command (NETC) reporting requirements for MICP. Annual self assessments of unit/DNS Assessable Units will generally satisfy annual MIC program review requirements. An annual CO/OIC certification statement is required to be forwarded to NSTC ODM. For format, see reference (d), enclosure (7). NSTC ODM will compile inputs and develop the NSTC OD certification statement and forward to NSTC, via the NSTC IG. Annual certification statement reporting due dates will be provided via separate correspondence

12. Reports. The reporting requirements contained in this instruction are exempt from reports control by SECNAV M-5214.1.



C. S. SHARPE

Distribution: (NSTCINST 5216.1B)  
List 3 & 4

NSTCINST 5040.1A  
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# **NAVAL RESERVE OFFICER TRAINING CORPS SELF ASSESSMENT GUIDE**

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Functional Category: Comptroller/Resource Management

Assessable Unit: Funds Control/OPTAR

<u>Reference</u>	<u>Guiding Directive</u>	<u>Subject</u>
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(a)	<a href="#">NSTCINST 1533.2</a>	Regulations for OD
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While Chapter 9 of NSTCINST 1533.2 provides a broad overview, specific details on day-to-day operations can be located online in the NROTC Supply Technician Training Manual at:  
<https://www.nrotc.navy.mil/nrotc.cfm>.

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
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	1. Is a copy of the "Funds Control/OPTAR" section of the last unit self-inspection and assist visit report on file with the staff member responsible for this Assessable Unit?	
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	2. Have all discrepancies identified been corrected? If not, then why?	
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Ref (a) Chapter 9	3. Are all commitments, obligations and adjustments posted in FASTDATA, including credit card purchases?	
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	a. Are commitments moved to obligations in a timely manner?	
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	b. Are credit card purchases cross-referenced to obligation documents?	
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	c. Are adjustments made, as necessary, to ensure full use of OPTAR funds?	
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<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
	4. Is an Operation and Maintenance, Navy (OMN) OPTAR expenditure report by expense element submitted to the CO on a monthly basis, in writing?	

Functional Category: Comptroller/Resource Management

Assessable Unit: Procurement

<u>Reference</u>	<u>Guiding Directive</u>	<u>Subject</u>
(a)	<a href="#">NSTCINST 1533.2</a>	Regulations for OD
(b)	<a href="#">FAR Part 1</a>	Federal Acquisition Regulations System
(c)	<a href="#">FAR Part 13</a>	Simplified Acquisition Procedures
(d)	NETCINST 5000.1	Command Evaluation Program Function Within the Naval Education and Training Command GCPC Program
(e)	<a href="#">NSTCINST 4200.99</a>	
(f)	<a href="#">Current Prompt Payment Act</a>	

All references to Federal Acquisition Regulation (FAR); Defense Acquisition Regulation Supplement (DFARS); or Naval Acquisition Procedures Supplement (NAPS) shall also include implementing and supplementing regulations/instructions.

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
	1. Is a copy of the "Procurement" section of the last unit self-inspection and assist visit report on file with the staff member responsible for this Assessable Unit?	
	2. Have all discrepancies identified been corrected? If not, then why?	
Ref (d) par 3.(7)	3. Have the Agency Program Coordinator (APC), Approving Officer (AO), and Cardholder:	

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (d) par 5.b	a. Completed the online Defense Acquisition University (DAU) training and certification?	
Ref (d) par 3.d(3)	b. Been designated in writing, to include form DD-577?	
Ref (a) par 908.b.(1)	4. Are procedures in place within the activity to ensure separation of functions? (APC and AO cannot be cardholders)	
Ref (d) par 5.a	5. Are DAU completion certificates and appointment letters maintained in a central training file?	
Ref (a) par 908.b.(6)	6. Are all commitments posted in FASTDATA?	
Ref (a) par 908.b.(2) Ref (d) par 15.a	7. Have required approvals been obtained prior to procuring items?	
Ref (a) par 908.b.(2)	8. Has the activity ratified buys after the fact?	
Ref (a) par 207.d; Ref (c)	9. Has the CO appointed a Command Evaluation Officer? NOTE: Recommend an independent, in-house review of the entire acquisition cycle to ensure adequate controls exist to prevent fraud, waste or mismanagement.	

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (b) par 13.106; Ref (d) par 3.e.(8)	10. Are requirements adequately screened for availability from required supply sources before purchases are made in the open market, and are contract files documented to reflect the screening?	
Ref (d) par 3.d.(9)	11. Are purchase files maintained as required by acquisition regulations?	
Ref (e)	12. Are invoices processed in accordance with the Prompt Payment Act? (Are bills paid on time?)	

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Functional Category: Comptroller/Resource Management

Assessable Unit: GCPC and Convenience Checks

<u>Reference</u>	<u>Guiding Directive</u>	<u>Subject</u>
(a)	<a href="#">NAVSUPINST 4200.85D</a>	Department of the Navy Simplified Acquisition Procedures
(b)	<a href="#">NSTCINST 4200.99</a>	GCPC Program
(c)	<a href="#">NSTCINST 1533.2</a>	Regulations for OD
(d)	<a href="#">NAVSUPINST 4200.99</a>	GCPC Program

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
	1. Is a copy of the "GCPC and Convenience Checks" section of the last unit self-inspection and assist visit report on file with the staff member responsible for this Assessable Unit?	
	2. Have all discrepancies identified been corrected? If not, then why?	
Ref (b) App C	3. Have formal internal operating procedures been developed and are they GSA compliant?	
Ref (b) Chap 3.D.(3)	4. Are cardholders properly delegated authority in writing by higher echelon command, and does the letter or SF1402 set forth single purchase limits, billing cycle purchase limits, and transaction methods?	

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (b) Chap 3.D. (10)(g)	5. Are monthly Purchase Record Audits conducted by the AO? (Review records to ensure no fraud, waste or mismanagement of the GCPC)	
Ref (a) Chap 5 Encl (1); Ref (c) par 908.b.(6)	6. Are obligation documents created in FASTDATA prior to credit card purchases?	
	7. Has the activity ever exceeded its authority in any of the following areas:	
Ref (b) Chap 5 Encl (1)	a. Micro purchase limits?	
Ref (b) par 3.e.(1)	b. Single purchase limits?	
Ref (b) par 3.e.(1)	c. Cycle limits?	
Ref (b) Chap 1 par 6.c. (7)(f)	8. Are convenience checks written over the \$2,500 limit?	
Ref (b) Chap 1 par 6.c. (7)(f)	9. Is there evidence of unauthorized purchases with purchase cards and/or convenience checks?	
Ref (b) par 3.e.(8)	10. Does the cardholder screen for mandatory sources per the reference?	

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (b) par 21.b.(1)	11. Is there evidence of splitting requirements to circumvent dollar thresholds?	
Ref (b) par 3.e. (8)(d)	12. Do purchase card transaction files include: requests for supplies or services, required approvals, documentation of screenings, copies of obligation documents, evidence of award/purchase receipts, inspections, and acceptance?	
Ref (d) par 6.e. (4)(j)	13. Do cardholders rotate business sources?	
Ref (b) par 18.a	14. Are cardholder statements and purchase card logs reconciled with billing statements in a timely manner?	
Ref (b) par 19	a. Are cardholders and AOs processing statements in 5 working days?	
Ref (b) par 20	b. Are steps taken to resolve questions promptly in order to avoid disputes?	
Ref (d) par 15.o	15. Are required security procedures used to safeguard cards, convenience checks and account numbers?	

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<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (b) par 22	16. In the event of a lost or stolen card, are proper reporting procedures readily accessible?	
Ref (b) par 3.e. (8)(k)	17. Do cardholders advise merchants not to charge state and local taxes?	

Functional Category: Comptroller/Resource Management

Assessable Unit: GSA Fuel Credit Cards

<u>Reference</u>	<u>Guiding Directive</u>	<u>Subject</u>
(a)	<a href="#">NSTCINST 1533.2</a>	Regulations for OD

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
	1. Is a copy of the "GSA Fuel Credit Cards" section of the last unit self-inspection and assist visit report on file with the staff member responsible for this Assessable Unit?	
	2. Have all discrepancies identified been corrected? If not, then why?	
Ref (a) par 910	3. Are GSA Fuel Card expenditures continually monitored to ensure charges are proper, detect suspected abuse and reduce waste?	
Ref (a) par 910	4. Is strict physical control of the GSA gas credit card maintained?	

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Functional Category: Comptroller/Resource Management

Assessable Unit: Travel Orders

<u>Reference</u>	<u>Guiding Directive</u>	<u>Subject</u>
(a)	<a href="#">NSTCINST 1533.2</a>	Regulations for OD
(b)	<a href="#">JFTR Vol 1</a>	Joint Federal Travel Regulations
(c)	Annual NSTC OD8 Letter	Instructions on Preparing Travel Orders

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
	1. Is a copy of the "Travel Orders" section of the last unit self- inspection and assist visit report on file with the staff member responsible for this Assessable Unit?	
	2. Have all discrepancies identified been corrected? If not, then why?	
Ref (c)	3. Are manual orders for initial travel or disenrollment termination recorded in a log book?	
	4. Does the unit print FASTDATA and Defense Travel System (DTS) reports to compare transactions and track liquidation of travel vouchers?	
	5. Is the unit using DTS to prepare travel orders and vouchers?	
Ref (a) par 902.c.(6) (b)	6. Are travel orders/vouchers filed in a timely manner?	

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (a) par 901.i.(2) (a)	7. Does the unit provide appropriate copies to Naval Education and Training Professional Development and Technology Center (NETPDTC) and NSTC (Code OD811)?	
Ref (a) par 901.i.(1)	8. When scholarship midshipmen travel in government vehicles for field trips, physicals, representation of command in special events, etc., are they issued official no cost orders? (Orders are only required for travel to and from physicals and outside the local area)	
Ref (a) par 902	9. Are College Program students in Basic Standing placed under no cost orders for travel in a government vehicle to attend events such as drill meets, sporting tournaments, indoctrination trips or functions not associated with their commission?	



Functional Category: Comptroller/Resource Management

Assessable Unit: Tuition/Book Obligations

<u>Reference</u>	<u>Guiding Directive</u>	<u>Subject</u>
(a)	<a href="#">NSTCINST 1533.2</a>	Regulations for OD
(b)	<a href="#">DoD Financial Management Regulation</a>	

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
	1. Is a copy of the "Tuition/Book Obligations" section of the last unit self-inspection and assist visit report on file with the staff member responsible for this Assessable Unit?	
	2. Have all discrepancies identified been corrected? If not, then why?	
Ref (a) par 901.c.(3)	3. Are DD-1155 forms prepared before the beginning of each term?	
Ref (a) par 901.c.(6)	4. Are obligation amounts listed on DD-1155 forms reasonable estimates of actual invoice amounts? If excessive, why?	
Ref (a) par 901.c.(6)	5. Is a Standard Form 30 prepared for obligation changes to DD-1155 forms?	
Ref (a) par 901.c.(3) (b); 901.c.(6)	6. Do units at state supported institutions verify in and out-of-state tuition costs?	

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (a) par 900.a.(2)	7. Does the Supply Technician maintain a copy of the DD-1155 form, obligation list of names, and university invoice list of names?	
Ref (a) par 901.d.(3) (c)	8. Are Wide Area Work Force (WAWF) invoices reviewed and certified?	
Ref (a) Par 811.a; Ref (b) Vol 10, Ch 8, par 12	9. Does the CO sign block #36 on the DD-1155 certifying the account is correct and proper for payment?	
Ref (a) par 810.b	10. Does the amount listed on the Individual Education Program Cost Form (NSTC 1533/50) match exactly the amount listed on the university invoice?	

Functional Category: Supply Operations

Assessable Unit: Logistics

<u>Reference</u>	<u>Guiding Directive</u>	<u>Subject</u>
(a)	<a href="#">NSTCINST 1533.2</a>	Regulations for OD

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
	1. Is a copy of the "Logistics" section of the last unit self-inspection and assist visit report on file with the staff member responsible for this Assessable Unit?	
	2. Have all discrepancies identified been corrected? If not, then why?	
Ref (a) par 926	3. Does the office present a neat appearance and professional atmosphere?	
Ref (a) par 926.a.(1)	4. Are all excess items tagged to indicate disposition, e.g., turn-in?	
Ref (a) par 926.a.(3)	5. Is the Supply Room secure?	
Ref (a) par 926	6. Is the storage area organized?	
Ref (a) App G	7. Are all required publications accessible?	

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<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (a) par 904.a	8. Has the current CO appointed the Personal Property Manager/Responsible Officer in writing? Is a copy of the appointing memorandum on file?	

Functional Category: Supply Operations

Assessable Unit: Uniforms

<u>Reference</u>	<u>Guiding Directive</u>	<u>Subject</u>
(a)	<a href="#">NSTCINST 1533.2</a>	Regulations for OD

While Chapter 9 of NSTCINST 1533.2 provides a broad overview, specific details on day-to-day operations can be located online in the NROTC Supply Technician Training Manual at:  
<https://www.nrotc.navy.mil/nrotc.cfm>

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
	1. Is a copy of the "Uniforms" section of the last unit self-inspection and assist visit report on file with the staff member responsible for this Assessable Unit?	
	2. Have all discrepancies identified been corrected? If not, then why?	
Ref (a) par 906.f	3. Does the Supply Technician have a current roster of midshipmen/cadets (by class) on file in the supply room, and is it safeguarded?	
Ref (a) par 906.f	4. Is a clothing record (JUMS Custody Record) established for each midshipman/cadet assigned to the unit in a separate record folder?	

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (a) par 906.r	5. If a student is dropped, does the unit initiate recovery of clothing and equipment in a timely manner? NOTE: Recommend initiating action within 30 days.	
Ref (a) par 906.f	6. Are returned clothing transactions recorded in the Joint Unit Management System (JUMS)?	
Ref (a) par 906	7. Are inventories, issues, receipts, transfers, and surveys posted to JUMS?	
Ref (a) par 906	8. Is the JUMS system complete and accurate?	
Ref (a) par 906.f	9. Does the Uniform Issue Form contain the following:  a. A list of all uniform articles issued?  b. An accountability statement?  c. Student signature?	
Ref (a) par 906.f	10. Does the unit have a Uniform Issue Form for each student on the unit's roster?	
Ref (a) par 906.m	11. Is Not Ready for Issue clothing disposed of/transferred using one of the two methods listed below:	

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
	a. Turned in to the nearest Defense Reutilization and Marketing Office?	
	b. Disposed of at the unit (Unit disposition includes transfer of uniforms to Naval Junior Reserve Officer Training Command Units or other Navy activities)?	
Ref (a) par 906.d	c. Are DD-1348 and DD-1149 forms used to remove these items from inventory?	
Ref (a) par 901.e.(8)	12. Is the unit issuing uniforms to active duty students? (Active Duty should not be issued uniforms)	
Ref (a) chap 906.h	13. Are the minimum items of clothing per student issued at orientation?	
Ref (a) chap 904.a.(1)	14. Does the Personal Property Manager review and sign Loss/Gain History reports from Clothing Reports in JUMS at time of inventory completion? (Must be maintained for 6 years)	
Ref (a) par 928.a	15. Is the unit maintaining a document register?	

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Functional Category: Supply Operations

Assessable Unit: Alterations

<u>Reference</u>	<u>Guiding Directive</u>	<u>Subject</u>
(a)	<a href="#">NSTCINST 1533.2</a>	Regulations for OD

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
	1. Is a copy of the "Alterations" section of the last unit self-inspection and assist visit report on file with the staff member responsible for this Assessable Unit?	
	2. Have all discrepancies identified been corrected? If not, then why?	
Ref (a) par 906.g	3. Are major alterations performed? (Major alterations are any alterations other than sewing on insignia, hatband, loops, sleeve length for dress coats, trousers, and slits for swords.)	
Ref (a) par 906.g.1	4. Are alteration expenditures charged under the appropriation "Reserve Personnel, Navy" fund?	
Ref (a) par 906.g	5. Are alterations inspected for validation of work performed?	

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Functional Category: Supply Operations

Assessable Unit: Naval Science Course Materials

<u>Reference</u>	<u>Guiding Directive</u>	<u>Subject</u>
(a)	<a href="#">NSTCINST 1533.2</a>	Regulations for OD

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
	1. Is a copy of the "Naval Science Course Materials" section of the last unit self-inspection and assist visit report on file with the staff member responsible for this Assessable Unit?	
	2. Have all discrepancies identified been corrected? If not, then why?	
Ref (a) par 913.f.(4)	3. Are all instructional materials accurately accounted for in JUMS?	
Ref (a) par 905.f	4. Is an annual physical inventory of the instructional materials provided by NETPDTC conducted, and results submitted as required?	
Ref (a) par 904.b.(4) ; 913	5. Has the student/instructor signed a custody receipt acknowledging accountability for textbooks/training materials?	
	6. Does the Custody Receipt contain the following:	

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (a) par 913	a. List of all instructional materials issued?	
Ref (a) par 906.j; 913	b. Accountability statement?	
Ref (a) par 913	c. Student/instructor signature?	
Ref (a) par 913.e.(4)	7. Is NETPDTC provided a copy of transfer/disposal documentation (DD-1149)?	
Ref (a) par 906.r	8. Are procedures in place to ensure all Naval Science course materials are returned by disenrolling students?	
Ref (a) par 904.b	9. Are procedures in place to ensure instructors return all instructional materials prior to departing unit?	

Functional Category: Supply Operations

Assessable Unit: Vans/Vehicles

<u>Reference</u>	<u>Guiding Directive</u>	<u>Subject</u>
(a)	<a href="#">NSTCINST 1533.2</a>	Regulations for OD
(b)	<a href="#">NAVFAC P-300</a>	Management of Civil Engineering Support Equipment

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
	1. Is a copy of the "Vans/Vehicles" section of the last unit self-inspection and assist visit report on file with the staff member responsible for this Assessable Unit?	
	2. Have all discrepancies identified been corrected? If not, then why?	
Ref (a) par 910.g	3. Does the unit allow students to drive vehicles?	
Ref (b) Chap 3 par 3.8.6	4. Does the unit verify that drivers of government vehicles have a current license?	
Ref (a) par 910.f; Ref (b) Chap 3.1	5. Does the unit require every operator to record daily vehicle usage using DD-1970/Motor Equipment Utilization Record? Is the form maintained for 4 years?	
Ref (a) par 910.a	6. Does the unit follow the notification from the GSA vehicle maintenance program?	

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<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (a) par 910.a	7. Are Safety Inspection and Preventive Maintenance procedures established and followed?	
Ref (a) par 910.c	8. Are accidents reported per the reference?	

Functional Category: Property Management

Assessable Unit: Government Property

<u>Reference</u>	<u>Guiding Directive</u>	<u>Subject</u>
(a)	<a href="#">NSTCINST 1533.2</a>	Regulations for OD

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
	1. Is a copy of the "Government Property" section of the last unit self-inspection and assist visit report on file with the staff member responsible for this Assessable Unit?	
	2. Have all discrepancies identified been corrected? If not, then why?	
Ref (a) par 906.r	3. When a student has left the unit without turning in government property, has the unit:  a. Requested the Bursar's Office put a stop on the student's university transcripts?  b. Requested, via registered mail and return receipt, the return of all government property?	
Ref (a) par 906.f	4. Are losses properly screened and students requested to replace or reimburse the government?	

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
	a. Was replacement in kind and/or payment made with certified check or money order made payable to the Treasurer of the United States and submitted to NETPDTC (N811)?	
	b. Are Cash Collection Vouchers (DD 1131) prepared properly?	
Ref (a) par 927	5. Meals Ready to Eat (MRE)/Tailored Operational Training Meals (TOTM)	
	a. Does the MRE/TOTM log contain the following:	
	(1) Recipient's name (printed)?	
	(2) Last four of the Social Security Number (SSN)?	
	(3) Date?	
	(4) Consumer signature?	
Ref (a) par 927.b.(4)	b. Does unit annotate receipt and use of MREs/TOTMs? (Recommend using Naval Supply Systems Command Form 306)	
	c. Are all MREs/TOTMs accounted for as inventoried?	



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<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (a) par 927.a.(3)	d. Is a Cash Collection Voucher prepared for payment of MREs/TOTMs issued to personnel drawing a subsistence allowance?	

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Functional Category: Property Management

Assessable Unit: Minor Property

<u>Reference</u>	<u>Guiding Directive</u>	<u>Subject</u>
(a)	<a href="#">NSTCINST 1533.2</a>	Regulations for OD

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
	1. Is a copy of the "Minor Property" section of the last unit self-inspection and assist visit report on file with the staff member responsible for this Assessable Unit?	
	2. Have all discrepancies identified been corrected? If not, then why?	
Ref (a) 904.b	3. Are all Government Automatic Data Processing (ADP) and other minor property recorded in the JUMS inventory program?	
Ref (a) par 904.b.(4)	4. Is all Government property signed for, and do Custody Records indicate locations?	
Ref (a) par 905	5. Is Government owned property inventoried and is a record of the review maintained, as required:  a. Annually, between 1 May and 31 Oct?	
Ref (a) par 905.d	b. Upon relief of a Department Head, for those items in the custody of the department concerned?	

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (a) par 905.b	c. Upon change of command?	
Ref (a) par 905.c	d. Upon turnover of unit Supply Technician?	
Ref (a) par 904.b	6. Are significant data such as nomenclature, stock number, allowance, unit of issue, model, serial number, and unit price posted in JUMS?	
Ref (a) par 229.b	7. Is equipment in excess of allowances promptly disposed of?	

Functional Category: Morale/Welfare and Recreation

Assessable Unit: Non-Appropriated Funds Accounting

<u>Reference</u>	<u>Guiding Directive</u>	<u>Subject</u>
(a)	<a href="#">BUPERSINST 1710.15</a>	Navy Military Recreation Fund Financial Reporting Procedures
(b)	<a href="#">BUPERSINST 1710.16</a>	Administration of Recreation Programs Afloat

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
	1. Is a copy of the "Non-Appropriated Funds Accounting" section of the last unit self-inspection and assist visit report on file with the staff member responsible for this Assessable Unit?	
	2. Have all discrepancies identified been corrected? If not, then why?	
Ref (a)	3. Are expenditures properly documented and accounted for? (Recommend single entry accounting system)	
Ref (b)	4. Is custodian appointed in writing by the Professor of Naval Science (PNS)?	
Ref (a)	5. Are security procedures in place to safeguard checks and account numbers?	
Ref (a) par 234.a	6. Are annual financial statements submitted to Naval Personnel (NAVPERS) by end of the Fiscal Year?	

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Functional Category: Contract Administration

Assessable Unit: Cross Enrollment Agreements

<u>Reference</u>	<u>Guiding Directive</u>	<u>Subject</u>
(a)	<a href="#">NSTCINST 1533.2</a>	Regulations for OD
(b)	NROTC Training Manual (November 2005)	NROTC Student Manager Entry Program

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
	1. Is a copy of the "Cross Enrollment Agreements" section of the last unit self-inspection and assist visit report on file with the staff member responsible for this Assessable Unit?	
	2. Have all discrepancies identified been corrected? If not, then why?	
Ref (a) par 109	3. Does the unit have any cross enrollment agreements?	
Ref (a) par 109.b	4. Have the agreements been approved by NSTC?	
Ref (a) par 109	5. Is each agreement in compliance with reference?	
Ref (b)	6. Are students identified in Officer Program Management Information System (OPMIS) under the specific code for the cross enrollment institution? (Personal/Program Information Tab)	

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<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (a) par 901.c.(5) (a)	7. Are cross-enrolled schools invoicing the host school?	
Ref (a) par 901.c.(5)	8. Is tuition of midshipmen attending the cross enrolled school obligated on a DD-1155 form to the host school?	



Functional Category: Security

Assessable Unit: Explosives Safety

<u>Reference</u>	<u>Guiding Directive</u>	<u>Subject</u>
(a)	NAVSEA OP5 Vol I	Ammunition and Explosives Ashore Safety Regulations
(b)	<a href="#"><u>NFPA, Publication 10</u></a>	National Fire Protection Association, Pub 10 - Fire Extinguishers

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
	1. Is a copy of the "Explosives Safety" section of the last unit self- inspection and assist visit report on file with the staff member responsible for this Assessable Unit?	
	2. Have all discrepancies identified been corrected? If not, then why?	
Ref (a) par 1-4.3.1	3. Is an Explosives Safety Officer designated in writing?	
Ref (a) par 2-1.5.1	4. Is the ammunition storage area kept clean?	
Ref (a) par 4-1	5. Are flammables kept away from ammunition either when in use or storage?	
Ref (a) par 4-1.5 and Ref (b) Chap 7	6. Is firefighting equipment in good order and inspected periodically?	

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (a) par 10-7.5b	7. Is small arms ammunition placed haphazardly in containers? (shall not be)	
Ref (a) par 11-2.7	8. Are general or specific safety precautions posted inside the safe that is used to store small arms ammunition? (Example Figure 11-2)	
Ref (a) par 11-2.6.1	9. Is small arms ammunition stored and segregated according to lot number?	
Ref (a) par 12-6.6.2	10. Has the CO authorized (in writing) transportation of small arms ammunition associated for marksmanship training without the usual transportation restrictions?	

Functional Category: Security

Assessable Unit: Small Arms Weapons Allowance(s)

<u>Reference</u>	<u>Guiding Directive</u>	<u>Subject</u>
(a)	NAVSEAINST 8370.2B	Small Arms and Weapons Management Policy and Guidance Manual
(b)	<a href="#">NSTCINST 1533.2</a>	Regulations for OD

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
	1. Is a copy of the "Small Arms Weapons Allowance(s)" section of the last unit self-inspection and assist visit report on file with the staff member responsible for this Assessable Unit?	
	2. Have all discrepancies identified been corrected? If not, then why?	
Ref (a) par 3-802 and 3-803	3. Is there a one hundred percent inventory of small arms, signed by two individuals and an accountable officer, conducted on a monthly, quarterly, and annual basis? NOTE: Quarterly and annual inventories must include serial number verification.	

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (a) par 3-801	4. Are Ammunition and Explosives (AA&E) assets verified annually with reply to Naval Weapon Support Center (NAVWPNSUPPCEN) Crane within 45 days from mailing date of electronic inventory?	
Ref (a) par 3-700	5. Does the Commander ensure that reports of disposition and transportation of firearms are filed with NAVWPNSUPPCEN Crane?	
Ref (a) par 3-1201 and Ref (b) par 909.a	6. Do AA&E assets on hand exceed the activity's authorized naval ordnance small arms allowance list? NOTE: Only .22 cal is authorized.	
Ref (a) par 3-302	7. If all small arms are not being used, has an allowance change request to lower the unit's inventory been submitted?	
Ref (a) par 3-1203	8. Are unserviceable weapons returned to Crane Division, Naval Surface Warfare Center (NAVSURFWARCEN)?	
Ref (b) par 909.g	9. Are drill rifles inventoried annually?	

Functional Category: Security

Assessable Unit: Non-Combat Expenditure Requirements/Allocation

<u>Reference</u>	<u>Guiding Directive</u>	<u>Subject</u>
(a)	<a href="#">NSTCINST 1533.2</a>	Regulations for OD
(b)	NETCINST 8011.1B	NETC Ordnance Program Guidance

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
	1. Is a copy of the "Non-Combat Expenditure Requirements/Allocation" section of the last unit self-inspection and assist visit report on file with the staff member responsible for this Assessable Unit?	
	2. Have all discrepancies identified been corrected? If not, then why?	
Ref (a) par 909.j.(2) (a)	3. Does the unit maintain an ammunition log?	
Ref (a) par 909.j.(2) (a,b,d)	4. Does the ammunition log contain receipts, expenditures, authorized user's name, SSN, date, number of rounds issued, authorized user's signature, and current balance?	
Ref (a) par 909.j.(2) (d)	5. Is the ammunition log closed, balanced and signed monthly by an accountable officer?	

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (a) par 909.j.(2) (f)	6. Are Ammunition Stock Records and Lot Locator cards maintained and retained for three years?	
Ref (a) par 5.b.(6) and Encl (1)	7. Are Ammunition Transaction Reports (ATR) submitted to OD8 by the 4 <sup>th</sup> of each month?	
Ref (b) par 5.b.(6) and Encl (1)	8. Does the unit do a realistic mid-year review of ammunition requirements and usage, and submit the report to OD8 by 15 March of the current fiscal year?	
Ref (b) par 5.b.(9)(d)	9. Is the unit using the correct project code 87607 ammunition Military Standard Requisitioning and Procedures (MILSTRIP) requisitions?	

Functional Category: Security

Assessable Unit: AA&E Physical Security

<u>Reference</u>	<u>Guiding Directive</u>	<u>Subject</u>
(a)	<a href="#">OPNAVINST 5530.13C</a>	Department of the Navy (DoN) Physical Security Instruction for Conventional Arms, AA&E

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
	1. Is a copy of the "Arms, Ammunition and Explosives Security" section of the last unit self-inspection and assist visit report on file with the staff member responsible for this Assessable Unit?	
	2. Have all discrepancies identified been corrected? If not, then why?	
Ref (a) par 301	3. Does the armory/arms room meet the prescribed construction (vault and a class 5 safe)?	
Ref (a) par 301.e	4. Does the arms room have an Intrusion Detection System (IDS)?	
Ref (a) par 301.e	5. If an IDS system is not installed, is the armory under constant surveillance?	
Ref (a) par 301.e	6. If an IDS system is installed, are volumetric sensors used?	

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (a) par 204	7. Are ammunition and small arms weapons stored in the same security container (they shall not be).	
Ref (a) par 202.c	8. If armed guards or surveillance personnel are not available for security of arms/ammunition, does the campus police conduct checks on the arms room?	
Ref (a) par 201.c-d	9. Are daily logs maintained on all IDS alarm violations?	
Ref (a) par 206	10. Is there a lock and key control system for the arms room or security container?	
Ref (a) par 103	11. If applicable, have waivers/exceptions to standards been submitted, and are copies kept on file?	



Functional Category: Security

Assessable Unit: Physical Security

<u>Reference</u>	<u>Guiding Directive</u>	<u>Subject</u>
(a)	<a href="#">OPNAVINST 5530.14D</a>	Navy Physical Security and Law Enforcement
(b)	NSTCINST 5040.1A	NROTC Command Inspection Program

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
	1. Is a copy of the "Physical Security" section of the last unit self-inspection and assist visit report on file with the staff member responsible for this Assessable Unit?	
	2. Have all discrepancies identified been corrected? If not, then why?	
Ref (a) par 0201	3. Does the unit conduct the Physical Security Survey annually? NOTE: Appendix A to NSTCINST 5040.1A is the survey.	
Ref (b) App A	4. Does the unit maintain physical security surveys for three years?	

Functional Category: Security

Assessable Unit: Personnel Security Program

<u>Reference</u>	<u>Guiding Directive</u>	<u>Subject</u>
(a)	SECNAV M-5510.30	Departmentn of the Navy Personnel Security Program

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
	1. Is a copy of the "Personnel Security Program" section of the last unit self-inspection and assist visit report on file with the staff member responsible for this Assessable Unit?	
	2. Have all discrepancies identified been corrected? If not, then why?	
Ref (a) Chap 2, Para 2- 3(1), and App D, Para 4.	3. Has each Security Manager and or assistant been appointed, in writing? If so, when and is it documented? <b>NOTE: The Security Manager must be a U.S. citizen, a commissioned officer or a civilian (GS-11/equivalent or above), and have been the subject of a favorably adjudicated Single Scope Background Investigation (SSBI) completed within the five years prior to assignment</b>	

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Ref (b)        4. Were copies of the  
Chap 2,        designation letters  
Para 2-        forwarded to CNO (N09N2)?  
3(1)(a)       If so, state when

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Functional Category: Information Technology

Assessable Unit: Website Management

<u>Reference</u>	<u>Guiding Directive</u>	<u>Subject</u>
(a)	<a href="#">SECNAVINST 5720.47B</a>	DoN Policy for Content of Publicly Accessible World Wide Web Sites

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
	1. Is a copy of the "Website Management" section of the last unit self-inspection and assist visit report on file with the staff member responsible for this Assessable Unit? NOTE: This is a new section, so state N/A, if old checklist used.	
	2. Have all discrepancies identified been corrected? If not, then why? NOTE: This is a new section, so state N/A, if old checklist used.	
Ref (a) para 7.d.(1)	3. Does the command ensure all information currently residing on the unit's website is reviewed by the unit's public affairs representative, accurate, and appropriate for viewing by a worldwide audience, friend and foe alike?	

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (a) para 7.d.(2)	4. Does the command have local procedures for the approval of information posted on the unit's website?	
Ref (a) para 7.d.(3)	5. Did the command designate the unit's Web Site Manager in writing, and is contact information included on the homepage?  6. Does the command-appointed Website Manager:	
Ref (a) para 7.d.(3)(b)	a. Have access to the reference and any applicable notices; and is the manager familiar with the guidance?	
Ref (a), para 7.d.(3).(b)	b. Serve as the principal point of contact on all matters pertaining to administration of the publicly accessible website?	
Ref (a) para 7.d.(3)(c)	c. Monitor the unit's website to ensure no unauthorized changes have been made?  7. Does the command website:	
Ref (a) Encl 1 para 2.b.(1)	a. Contain the full organization name and official postal mailing address?	

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (a) Encl 1 para 2.b.(2)	b. Contain a statement that the site is an official U.S. Navy website?	
Ref (a) Encl 1 para 2.b.(3)	c. Prominently display a hypertext link to a tailored Privacy Policy on the homepage?	
Ref (a) Encl 1 para 2.d	d. Contain links to the following sites:  (1) The official Navy website and/or the Marine Corps' website at <a href="http://www.navy.mil">http://www.navy.mil</a> and <a href="http://www.marines.mil">http://www.marines.mil</a> ?  (2) The parent command homepage?  (3) The Navy and/or Marine Corps recruiting sites at <a href="http://www.navy.com">http://www.navy.com</a> and <a href="http://www.marines.com">http://www.marines.com</a> ?  (4) The Navy official Freedom of Information site?	
Ref (a) Encl 1 para 3.c.(1)	e. Present information in a manner reflecting the professionalism of the DoN?	
Ref (a) Encl 1 para 3.c.(2)	f. Comply with the Privacy and Freedom of Information Act?	

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (a) Encl 1 para 3.c.(4)	g. Contain only those images which support the overall mission of the website? NOTE: Images with captioning will only have caption information suitable for viewing by worldwide audience, both internal and external. Images of personnel will not contain personal information other than name, rank/rate and duty station.	
	h. Comply with the following restrictions:	
Ref (a) Encl 1 para 3.d.(1)	(1) Websites shall not include classified material, "For Official Use Only" information, proprietary information, or information that could enable the recipient to infer this type of information.	
Ref (a) Encl 1 para 3.d.(2)	(2) Websites shall not identify family members of DoN personnel in any way, including in photos or photo captions, except for the spouses of senior leadership who are participating in public events such as ship namings, commissionings, etc. Furthermore, family member information will not be included in any online biographies.	



<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (a) Encl 1 para 3.d.(3)	(3) Websites shall not contain any written information or display any logo indicating the website is best viewed with any specific web browser(s); or, that the website has been selected as a recommended or featured site by any organization; or, point to any particular search engines or recommend any commercial software.	
Ref (a) Encl 1 para 3.d.(3)(a)	(4) Websites shall not provide commercial software or links to commercial software.	
Ref (a) Encl 1 para 3.d.(4)	(5) Websites shall not display any logos or graphics for events, issues, or commemorations unless command sponsored (i.e., a command event).	
Ref (a) Encl 1 para 3.d.(5)	(6) Websites shall not display any commercial page counters.	
Ref (a) Encl 1 para 3.d.(6)	(7) Websites shall not contain any material that is copyrighted or under trademark without the written permission of the copyright or trademark holder.	

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (a) Encl 1 para 3.d.(7)	(8) Websites shall not display personnel lists with individuals' names, individuals' phone numbers or e-mail addresses which contain the individual's name. NOTE: General telephone numbers and non-personalized e-mail addresses are acceptable. The names, telephone numbers, and personalized, official e-mail addresses of the unit's public affairs personnel and/or those designated by the commander as command spokespersons may be included in otherwise non-personalized directories.	
Ref (a) Encl 1 para 3.d.(8)	(9) Biographies of COs, OICs and XO's posted on the unit's website will not include date of birth, current residential location, or information about family members.	
Ref (a) Encl 1 para 3.d.(9)	(10) Websites will not link to non-government, commercial-entity sites.	
Ref (a) Encl 1 para 3.d.(11)	(11) No materials or services may be advertised for sale or sold via the unit's website. (This includes command memorabilia, ball caps, etc.)	

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (a) Encl 1 para 3.d.(13)	(12) Information from other military websites shall not be duplicated, but may be referenced or otherwise linked.	
Ref (a) Encl 1 para 6	(13) Websites shall not collect any personal data (name, address, phone number, etc.) of a visitor.	
Ref (a) Encl 1 para 6.a	(14) Websites shall not employ the use of persistent cookies or any persistent identification element unless the unit meets the 4 required conditions.	
Ref (a) Encl 1 para 6.b	(15) Websites shall not contain Web Bugs.	

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Functional Category: Information Technology

Assessable Unit: I-Mail Accounts

<u>Reference</u>	<u>Guiding Directive</u>	<u>Subject</u>
(a)	OFFL MAIL MSG #110-08	NEW FORM FOR NAVY I-MAIL ACCT

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
	1. Is a copy of the "I-Mail Accounts" section of the last unit self-inspection and assist visit report on file with the staff member responsible for this Assessable Unit?	
	2. Have all discrepancies identified been corrected? If not, then why?	
Ref (a)	3. How many I-Mail accounts does the Unit have?	
Ref (a)	4. Has a system authorization Access Request Navy (SAAR-N) been submitted for each account?	
	5. Who holds the Unit's wet signature (SAAR-N), OPNAV form 5239/14, requests and IA/PA/PII training required to establish I-mail accounts?	

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Functional Category: Quality of Life

Assessable Unit: Drug and Alcohol Program

<u>Reference</u>	<u>Guiding Directive</u>	<u>Subject</u>
(a)	<a href="#">OPNAVINST 5350.4D</a>	Drug and Alcohol Abuse Prevention and Control
(b)	<a href="#">NSTCINST 1533.2</a>	Regulations for OD
<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
	1. Is a copy of the "Drug and Alcohol Program" section of the last unit self-inspection and assist visit report on file with the staff member responsible for this Assessable Unit?	
	2. Have all discrepancies identified been corrected? If not, then why?	
Ref (a) par 8.1.(1)	3. Does the command do the following:  a. Deglamorize alcohol use?  b. Emphasize responsibility and moderation in the use of alcohol?  c. Prohibit activities that may encourage individuals to drink irresponsibly?	

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
	d. Provide specific guidance to the command regarding responsible use of alcohol?	
Ref (a) par 8.1.(3)	4. Is a Drug Abuse Program Advisor (DAPA) assigned and designated in writing? NOTE: Collateral Duty List assignment is sufficient.	
Ref (a) par 8.1.(3) (c)	5. Did the DAPA complete the DAPA course within 90 days of assuming duty or within previous 3 years?	
Ref (a) par 8.1.(4)	6. Does the DAPA provide alcohol and drug program information in command orientation programs for new personnel?	
Ref (a) par 8.1.(6)	7. Is a medical screening conducted on every member who is involved in an alcohol incident (as defined in ref (a), enclosure (1))?	
Ref (a) par 8.1.(7)	8. Does the command provide a means for command or self-referral without risk of disciplinary or career-ending implications for all members who have not incurred an incident, but are in need of alcohol counseling and/or treatment?	



<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (a) par 8.1.(8)	9. Is appropriate disciplinary and/or administrative action taken on personnel involved in drug use and alcohol abuse incidents?	
Ref (a) par 8.1.(9)	10. Are substantiated incidents of drug and alcohol abuse documented in service records, Fitness Reports (FITREPS), evaluations, and other reports as required by instructions?	
Ref (a) par 8.1.(18). (a)	11. Are Drug and Alcohol Abuse Reports (DAARs) completed after every command or self-referral, drug or alcohol incident, and final disposition determination?	
Ref (a) Encl (3) par 3.f.(1)	12. Have the CO and XO attended the ADAMS for Leaders course?	
Ref (a) Encl (1) par 6.b	13. Does the command actively monitor and support aftercare plans (quarterly meetings with CO, DAPA, and member)?	
Ref (a) Encl (2) par 2	14. Does the command conduct an aggressive urinalysis program?	

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (a) Encl (2) par 11.b; par 8.1.(10) (b)	15. Is a Urinalysis Program Coordinator (UPC) designated in writing? Note: DAPA shall not be assigned as UPC.	
Ref (a) Encl (3) par 1	16. Has the UPC received training on UPC duties?	
Ref (a) par 8.1.(10). (a)	17. Is random urinalysis testing conducted on between 10 and 20 percent of assigned active duty personnel monthly?	
Ref (b) par 226	18. Is urinalysis testing conducted on all midshipmen at least twice per academic year, including once between 1 August and 31 December, and once between 1 January and 1 June?	
Ref (a) Encl (2) App B	19. Does the UPC accurately follow procedures for the collection and transportation of urine samples?	

Functional Category: Quality of Life

Assessable Unit: Sexual Assault Victim Intervention (SAVI)  
Program

<u>Reference</u>	<u>Guiding Directive</u>	<u>Subject</u>
(a)	<a href="#">OPNAVINST 1752.1B</a>	Sexual Assault Victim Intervention(SAVI) Program

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
	1. Is a copy of the "Sexual Assault Victim Intervention (SAVI) Program" section of the last unit self-inspection and assist visit report on file with the staff member responsible for this Assessable Unit?	
	2. Have all discrepancies identified been corrected? If not, then why?	
Ref (a) Para 9.f. (3)	3. Has the CO designated a SAVI command POC.	
Ref (a) Encl (4)	4. Is the Unit SAVI POC responsible for:  a. Coordinating and implementing command awareness and prevention education training.  b. Maintaining current information on available victim support services in the geographical area.	

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
	c. Ensuring command SAVI Program compliance including collection and maintenance of sexual assault data.	
Ref (a) Para 9.f. (8)	5. Has the CO ensured that the SAVI Command POC received four hours of required training, regarding performance of their responsibilities under the SAVI Program.	
Ref (a) Encl (4)	6. Is the Unit in compliance with annual mandatory sexual assault awareness and prevention education GMT requirements?	
Ref (a) Encl (4)	7. Has the Unit established a good working relationship with University counseling resources to ensure effective and ongoing command interface regarding sexual assault prevention and response.	

Functional Category: Command Climate

Assessable Unit: CMEO for Military

<u>Reference</u>	<u>Guiding Directive</u>	<u>Subject</u>
(a)	<a href="#">OPNAVINST 5354.1F</a>	Navy Equal Opportunity Policy

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
	1. Is a copy of the "Command Managed Equal Opportunity for Military" section of the last unit self-inspection and assist visit report on file with the staff member responsible for this Assessable Unit?	
	2. Have all discrepancies identified been corrected? If not, then why?	
Ref (a) par 7.k.(22)	3. Has the commander issued his/her Equal Opportunity (EO) policy?	
Ref (a) par 7.k.(10)	4. Has the Commander conducted an EO Climate Assessment 90 days after assumption of command, and annual follow-up assessments during their tenure?	
Ref (a) par 7.k.(12)	5. Is the CMEO Manager designated in writing? (Collateral Duty List assignment is sufficient)	

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (a) par 7.k.(12)	6. Has the CMEO Manager attended the Center for Personal and Professional Development (CPPD)-approved course prior to assuming duties?	
Ref (a) par 7.k.(5)	7. Have all personnel attended annual Sexual Harassment and Grievance Procedures GMT?	
Ref (a) par 7.k.(13)	8. Are complaint or grievance procedures posted prominently for all hands?	
Ref (a) par 7.k.(18)	9. If the command had a formal complaint were the reporting requirements properly followed?	
Ref (a) par 7.k.(2-4)	10. Does the command achieve equal treatment for its members in the following areas:  a. Discipline/military justice?  b. Assignments/training/promotions/advancements?  c. Awards?  d. Evaluations?	
Ref (a) par 7.k.(21)	11. Does the command take effective disciplinary action when required to enforce the command EO policy?	

Functional Category: Command Climate

Assessable Unit: EEO Programs

<u>Reference</u>	<u>Guiding Directive</u>	<u>Subject</u>
(a)	CNETINST 12713.1	Management of Equal Employment Opportunity and Discrimination Complaints Programs
(b)	<a href="#">SECNAVINST 5300.26D</a>	DoN Policy on Sexual Harassment

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
	1. Is a copy of the "Equal Employment Opportunity Programs" section of the last unit self-inspection <u>and</u> assist visit report on file with the staff member responsible for this Assessable Unit?	
	2. Have all discrepancies identified been corrected? If not, then why?	
Ref (a) par 3.J.(5)	3. Does the Unit publicize and communicate discrimination complaint procedures, including the identity and telephone numbers of designated EEO Counselors, to all employees and applicants for employment.	
Ref (a) par 3.J.(4)	4. Does the Unit ensure that appropriate training is made available to managers, supervisors, employees, and EEO practitioners regarding roles and responsibilities within DON's EEO program.	

Functional Category: NROTC Program Requirements

Assessable Unit: GMT

<u>Reference</u>	<u>Guiding Directive</u>	<u>Subject</u>
(a)	NAVADMIN 302/06	FY-XX GMT (or current version)

<u>Reference</u>	<u>Requirements</u>	<u>Inspector comments</u>
	1. Is a copy of the "General Military Training" section of the last unit self-inspection and assist visit report on file with the staff member responsible for this Assessable Unit?	
	2. Have all discrepancies identified been corrected? If not, then why?	
Ref (a)	3. Does command conduct GMT in accordance with reference?	
Ref (a)	4. Are all active duty personnel included in GMT training?	



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Functional Category: NROTC Program Requirements

Assessable Unit: Sail Program

<u>Reference</u>	<u>Guiding Directive</u>	<u>Subject</u>
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(a)	<a href="#">NSTCINST 1533.2</a>	Regulations for OD
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<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
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	1. Is a copy of the "Sail Program" section of the last unit self-inspection and assist visit report on file with the staff member responsible for this Assessable Unit?	
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	2. Have all discrepancies identified been corrected? If not, then why?	
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Ref (a) par 412.b	3. Has a sail training coordinator been designated?	
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Ref (a) par 412.b	4. Does the coordinator conduct and evaluate sail training and maintain appropriate records?	
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Ref (a) par 412.a	7. Does the unit ensure that Navy option midshipmen achieve Skipper "B" qualification prior to beginning of the 1/C year?	
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Ref (a) par 412.d	8. Are reports submitted as required:	
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Ref (a) par 412.d	a. Sail Inventory (boats only) report to OD3 in December?	
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<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (a) par 905	b. Sail Training equipment, as part of wall- to-wall annual minor property inventory, due to OD821 no later than 10 Nov?	

Functional Category: NROTC Program Requirements

Assessable Unit: Small Arms Training/Ranges

<u>Reference</u>	<u>Guiding Directive</u>	<u>Subject</u>
(a)	<a href="#">OPNAVINST 3591.1E</a>	Small Arms Training and Qualification
(b)	<a href="#">NETCINST 8020.1</a>	Explosive Safety Policies, Procedures, and Requirements
(c)	<a href="#">OPNAVINST 5100.23G</a>	Navy Occupational, Safety and Health Manual
(d)	NAVSEAINST 8370.2B	Small Arms and Weapons Management Policy and Guidance Manual
(e)	<a href="#">NSTCINST 1533.2</a>	Regulations for OD

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
	1. Is a copy of the "Small Arms Training/Ranges" section of the last unit self-inspection and assist visit report on file with the staff member responsible for this Assessable Unit?	
	2. Have all discrepancies identified been corrected? If not, then why?	
Ref (a) par 11	3. Have all small arms instructors successfully completed an approved small arms instructor course of instruction?	
Ref (a) par 14	4. Is the Range Safety Officer a certified small arms instructor and also designated in writing by the CO?	

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (b) par 5.c.(2)(a)	5. Are Standard Operating Procedures (SOPs) developed for all evolutions involving the training use of small arms weapons?	
Ref (c) par 1805	6. Is the small arms range identified and labeled as a hazardous noise area?	
Ref (c) par 1901	7. Has the small arms range been posted as an eye hazard area?	
Ref (c) par 2013	8. Is a training program in place to educate personnel on the need for, and use of, Personal Protective Equipment (PPE)?	
Ref (c) par 2104a(4)	9. Are the floors of indoor ranges kept free of lead dust through the use of high efficiency particulate air filtered vacuum cleaners?	
Ref (c) par 2104e(1)	10. Are "lead work area" warning signs posted at indoor small arms ranges?	
Ref (c) par 2107	11. Does an Industrial Hygienist conduct periodic monitoring of the indoor range to ensure it meets the Occupational Safety and Health Administration (OSHA) standards for personnel exposed to lead dust?	

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (d) par 2-217	12. Does the activity with small arms weapons conduct 3M/Preventive Maintenance System (PMS)?	
Ref (e) par 416.a.(4)	13. Does supplemental small arms training (greater than .22 caliber) occur aboard a military installation using military weapons and ammunition, and is the training conducted by qualified active duty military personnel in accordance with installation range regulations?	

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Functional Category: NROTC Program Requirements

Assessable Unit: Freshman Orientation

<u>Reference</u>	<u>Guiding Directive</u>	<u>Subject</u>
(a)	<a href="#">NSTCINST 1533.2</a>	Regulations for OD
(b)	<a href="#">OPNAVINST 5350.4C</a>	Drug and Alcohol Abuse Prevention and Control

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
	1. Is a copy of the "Freshman Orientation" section of the last unit self-inspection and assist visit report on file with the staff member responsible for this Assessable Unit?	
	2. Have all discrepancies identified been corrected? If not, then why?	
	3. Does the new student orientation program attain the following objectives:	
Ref (a) par 420.b.(2)	a. Issuance of uniforms and basic indoctrination in Navy Uniform Regulations and grooming standards?	
Ref (a) par 420.b.(3)	b. Instruction in the basics of military customs, courtesies, traditions, and organization, including unit regulations and chain of command?	



<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (a) par 420.b.(4)	c. Basic competency in military drill and ceremony?	
Ref (a) par 420.b.(5)	d. Physical fitness training to determine individual midshipman level of readiness to meet Navy/Marine Corps program requirements?	
Ref (a) par 420.b.(6)	e. Instruction in the privileges and benefits of participating in the NROTC program and individual responsibilities of midshipmen?	
Ref (a) par 420.b.(7)	f. Indoctrination in tutoring services, university rules, and regulations?	
Ref (b) par 8.e.(2) and (5)	g. Alcohol and drug program information?	
Ref (a) par 420.c	4. Are the personnel involved in planning and executing the orientation program aware that this is <u>not</u> boot camp nor a "weeding out" process?  5. Does the CO:	
Ref (a) par 420.f.(1) (a)	a. Review and approve all orientation program plans and curriculum?	

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (a) par 420.f.(1) (b)	b. Ensure physical exams and Risk Factor Screening Forms have been completed on all new midshipmen?	
Ref (a) par 420.f.(1) (c)	c. Ensure new students identified as possible risks on the screening forms are cleared by medical authority before participating in any demanding exercise?	
Ref (a) par 420.f.(1) (d)	d. Assign only instructors deemed qualified to conduct training evolutions?	
Ref (a) par 420.f.(1) (e)	e. Select top performing upperclassmen for orientation duty and ensure they are aware of the program and scope of their authority?	
Ref (a) par 420.f.(1) (f)	f. Ensure maximum CO/XO on-scene oversight of orientation evolutions and progress?	
Ref (a) par 420.f.(1) (g)	g. Provide direction to staff regarding safety, risk reduction "training time out" procedures?	

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<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (a) par 420.f.(2) (d)	6. Do the staff personnel in charge of orientation training establish an atmosphere wherein participants are challenged, yet unafraid to say "training time out" when required?	

Functional Category: NROTC Program Requirements

Assessable Unit: Instructor Requirements

<u>Reference</u>	<u>Guiding Directive</u>	<u>Subject</u>
(a)	<a href="#">NSTCINST 1533.2</a>	Regulations for OD

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
	1. Is a copy of the "Instructor Requirements" section of the last unit self-inspection and assist visit report on file with the staff member responsible for this Assessable Unit?	
	2. Have all discrepancies identified been corrected? If not, then why?	
Ref (a) par 406.d.(1)	3. Is the instructor using the latest version of all NSTC curriculum guides, including all official curriculum changes?	
Ref (a) par 402 b(7)	4. Does each instructor maintain updated lesson plans, instructional resource listings, and academic records including student grades and test files?	
Ref (a) par 406.d.(2)	a. Has the instructor prepared a lesson plan for each class in the course they teach?	

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (a) par 406.d.(2)	b. Does a review of each instructor's lesson plans, information sheets, instructional aids, and tests show acceptable quality?	
Ref (a) par 407.a.(2)	5. Do the PNS and XO each personally observe and evaluate all instructors at least once per term? Are the written evaluations maintained for the duration of each instructor's tour?	

Functional Category: NROTC Program Requirements

Assessable Unit: Health and Physical Readiness (Students)

<u>Reference</u>	<u>Guiding Directive</u>	<u>Subject</u>
(a)	<a href="#">NSTCINST 1533.2</a>	Regulations for OD
(b)	<a href="#">OPNAVINST 6110.1H</a>	Physical Readiness Program

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
	1. Is a copy of the "Health and Physical Readiness (Students)" section of the last unit self-inspection and assist visit report on file with the staff member responsible for this Assessable Unit?	
	2. Have all discrepancies identified been corrected? If not, then why?	
Ref (a) par 415.c.(1)	3. Physical Fitness Assessment (PFA). All personnel aspiring for commissions in the active or Reserve Navy/Marine Corps are required to meet weight and fitness standards.	
Ref (a) par 415.g.(1); Ref (b) par 4.a.(1)(b)	a. Is the PFA administered twice each academic year? (PFAs shall be conducted at least 4 months and not more than 8 months apart.)	
Ref (b) Encl 7, par 4.a	b. Are all test events completed on the same day?	

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (b) Encl (2) par 4.b.(1); Ref (b) Encl (8) par 1.g,	c. Is the notification of the PRT test schedule promulgated at least 10 weeks before testing?  NOTE: This requirement has been exempted by Bureau of Naval Personnel (BUPERS) for freshman orientation PRT testing provided correspondence to the student, such as welcome aboard letters, states that physical fitness testing will be conducted.	
Ref (a) par 415.g.(1) (c); Ref (b) Encl (3) par 1.c and 1.e	d. Does the College Program (Basic Standing) midshipman have a letter from a physician stating student is physically qualified to participate in the PRT? Is the letter filed with the Physical Activity Risk Factor Screening Questionnaire (PARFQ)?	
Ref (a) par 415.f.(6); par 708.b.(2)	e. Are students placed on probation if they fail the first unit PRT or fail to maintain weight control limits, after enrollment as a freshman in NROTC Program?	

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (a) par 415.f.(6)	f. Students may not begin their sophomore year if they have not passed the required event(s) (PFA, HEIGHT/ WEIGHT). If a student fails any of these measures, place him/her on interim Leave of Absence (LOA), and hold a Performance Review Board (PRB) as soon as possible. Is this done?	
Ref (a) par 415.f.(4)	g. Two-year program graduates of Naval Science Instructor (NSI) should not be enrolled in NROTC until required performance has been demonstrated in PRT, swimming standards and the student is within height and weight standards. Explain the system used to ensure this requirement is met.	
Ref (b) Encl (3) pars 1.b and 1.c.(2)	h. Review the Physical Readiness Information Management System for completeness. Review Marine Corps Tally Sheets for completeness. List discrepancies found.	
Ref (b) Encl (1) par 12.n	(1) Are copies of NAVPERS 1070/613 and other documentation retained by the unit for 4 years after a member transfers?	



<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (b) Encl (3) par 1.f	(2) If a member answers "yes" to any of the questions on the Physical Activity Risk Factor Questionnaire (PARFQ), is that person required to get medical approval before participating in physical activity?	
Ref (b) Encl (2) par 4.f.(4); Encl (4) par 4.b	(3) Are all persons asked about their general health at a PRT?	
Ref (b) Encl (2) par 4.f.(2)	(4) Are personnel made aware of fluid intake requirements?	
Ref (a) par 415.g.(1) (b); Ref (b) Encl (1) par 11.q	i. Does the unit recognize midshipmen who demonstrate exceptional progress or achievement in the physical fitness program (e.g. an award for the most improved, and another for those accumulating 300 points (Marines) and Outstanding-High (Navy), etc.)?	
Ref (a) par 415.b.(4) (d) <u>1</u>	j. Are Training Time Out (TTO) procedures briefed before each PFT/PRT?	
	4. Height/weight/body fat	

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (a) par 415.d.(1); Ref (b) Encl (6) par 1.b	a. Review Risk Factor Screening sheets to ensure midshipmen are within height/weight standards. If midshipmen are not within height/weight standards, the body fat standards will be used (Navy - 22% (male), or 33% (female); Marine Option - 18% (male) 26% (female)). Midshipmen shall not be permitted to enter the third class year unless the standards are met. How many students have been allowed to enter the third class year without meeting minimum standards?	
Ref (a) par 415.b.(6) (b); Ref (b) Encl (2) par 4.d.(1) and Encl (8) par 1.f	b. Are height/weight or body fat measurements taken as part of the semi- annual physical readiness test no more than 10 days prior to the PRT?	
Ref (b) Encl (8) par 3; Ref (a) par 415.f. (3-6)	c. Have students failed PRT/height/weight/ body fat three times in any 4-year period?	

5. Swim Tests

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<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (a) par 415.g.(2) (b)	a. If a student fails the first unit swim test, is he/she placed in a remedial program?	

Functional Category: NROTC Program Requirements

Assessable Unit: Student I.D. Cards

<u>Reference</u>	<u>Guiding Directive</u>	<u>Subject</u>
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(a)	<a href="#">NSTCINST 1533.2</a>	Regulations for OD
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<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
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1. Is a copy of the "Student I.D. Cards" section of the last unit self-inspection and assist visit report on file with the staff member responsible for this Assessable Unit?

2. Have all discrepancies identified been corrected? If not, then why?

Ref (a)  
par 619

3. ID card issue:

a. Are DD Form 2N, Armed Forces Identification Cards, issued to all Navy option scholarship and College Program, Advanced Standing students?

b. Are DD Form 2MC, Armed Forces Identification Cards, issued to all Marine Corps option scholarship and College Program, Advanced Standing students?

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Functional Category: Student Performance/Administrative Files

Assessable Unit: Student Performance Files

<u>Reference</u>	<u>Guiding Directive</u>	<u>Subject</u>
(a)	<a href="#">NSTCINST 1533.2</a>	Regulations for OD
<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
	1. Is a copy of the "Student Performance File" section of the last unit self-inspection <u>and</u> assist visit report on file with the staff member responsible for this Assessable Unit?	
	2. Have all discrepancies identified been corrected? If not, then why?	
Ref (a) par 702	3. Are all forms listed in the reference filed in the Student Performance File?	
	a. <u>Right Side:</u>	
Ref (a) par 702.b.(1)	(1) <u>OPMIS Student File Information Summary Data (GF30R8401)</u>	
	(a) Did student review and sign the OPMIS Student File Information Data Form at the beginning of the academic term?	
	(b) Is the most recent OPMIS Student File Information Data Form in the file?	

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (a) par 702.b.(2)	(2) <u>NROTC Program Requirements Checklist</u> (example 7-2) or locally generated form. Does the NROTC Program Requirements Checklist include NROTC-required specified and Naval Science courses?	
Ref (a) par 702.b.(4)	(3) <u>NROTC Student Performance Record</u> (example 7-4)	
Ref (a) par 402. b.(3); 704.e-g	(a) Is counseling conducted and documented at a minimum of twice per academic term?	
Ref (a) par 701.f	(b) Are detailed notes of all topics discussed included in the counseling record?	
Ref (a) par 704.e	(c) During the counseling session, does the instructor discuss the NROTC Program Requirements and the student's Academic Degree Plan?	
Ref (a) par 704.e- f	(d) Does the instructor review past performance and set goals for the academic term with the student? Is the student's progress and estimated commissioning date discussed?	

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (a) par 207.a.(2) (b)	(e) Does the unit review quality of counseling notes for each instructor for frequency and detail?  - Freshman  - Sophomore  - Junior  - Senior  - Seaman to Admiral-21  - Marine Option	
Ref (a) par 702.b.(3)	(4) <u>Academic Planning Schedule</u> (example 7-3). Is the Academic Degree Plan updated to accurately reflect degree progress? Is the Academic Degree Plan reviewed with the student during counseling sessions? Does the Academic Degree Plan include required NROTC specified and Naval Science courses?	
Ref (a) par 404.(a)	<u>Scholarship</u>	



<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (a) par 404.(a)	<p>*Calculus: Must be completed by the end of the sophomore year (6 semester hours). (LOA is directed in all cases where Navy Option scholarship midshipmen fail to enroll in Calculus.) In the last 3 years, have any midshipmen failed to complete Calculus, when required, and were not placed on LOA?</p> <p>*Physics: Must be completed by the end of the junior year (6 semester hours). (LOA is directed in all cases where Navy Option scholarship midshipmen fail to enroll in Physics.) In the last 3 years, have any midshipmen failed to complete Physics, when required, and were not placed on LOA?</p> <p>*American Military: History/National, Security Policy (3 semester hours)</p> <p>Regional Studies (3 semester hours)</p> <p>English (6 semester hours)</p> <p>Naval Science Courses</p> <p>*Not required for Nurse Corps students</p>	

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (b) par 404.(b)	<u>College Program</u>  College Algebra (or advanced Trigonometry) (6 semester hours)  Physical Science (6 semester hours)  *American Military: History/National, Security Policy (3 semester hours)  Regional Studies (3 semester hours)  English (6 semester hours)  Naval Science Courses  <u>Marines</u>  American Military: History/National Security Policy (3 semester hours)  Naval Science Courses	
Ref (a) par 702.b.(5)	(5) <u>Current Term Academic Schedule</u> (example 7-5). Is the Current Term Academic Schedule completed during the initial interview with each student?	
Ref (a) par 702.b.(6)	(6) <u>College Level Academic Transcripts Including Summer School and Transfer Credit</u>	

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
	b. <u>Left Side:</u>	
Ref (a) par 702.a.(1)	(1) <u>Fitness Evaluation Report and Counseling Record (example 7-1) or locally generated form</u>	
Ref (a) par 707.b.(4)	(a) Did the CO and student sign the Evaluation Report?	
Ref (a) par 706	(b) Is the final grade on the Evaluation Report?	
Ref (a) par 418.a. (4-5); par 708.a.(2)	(c) Do midshipmen who receive a semester/ quarter aptitude grade below 2.5 receive at least a letter of "Aptitude Warning"? Does the Aptitude Warning letter include a formal evaluation from the PNS recommending procedures, methods, and assistance available, so that the midshipman will be able to improve?	
Ref (a) par 707.c	(d) Is the term aptitude entered in the OPMIS Grade Screen?	

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (a) par 708.c. (3)(a)2	(e) Is a recommendation for disenrollment forwarded to NSTC (Code OD4) on any student who fails three official PFAs (including height/weight) at any time while in the program? NOTE: Failures do not have to be consecutive, and may be any combination of body fat or PFT standards.	
Ref (a) par 413.a.(3)	(2) <u>Officer</u> <u>Candidate School (OCS)</u> <u>Statement of Understanding</u> (example 4-3). Is the OCS Statement of Understanding signed by each Marine Corps option student? Is the statement filed in the Student Performance File?	

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Functional Category: Student Performance/Administrative Files

Assessable Unit: Student Files (Administrative)

<u>Reference</u>	<u>Guiding Directive</u>	<u>Subject</u>
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(a)	<a href="#">NSTCINST 1533.2</a>	Regulations for OD
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<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
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1. Is a copy of the "Student Files" section of the last unit self-inspection and assist visit report on file with the staff member responsible for this Assessable Unit?

2. Have all discrepancies identified been corrected? If not, then why?

Ref (a) par 624	3. <u>Scholarship Program</u> - Has a Student File been established for each scholarship student? Is the file organized as required?
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Student File Contents  
(Scholarship)

a. Left Side:

Ref (a) par 624.a.(1)	(1) Does each Student File contain an NROTC Student File Index (NSTC 1070/6) (example 6-29)?
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Ref (a) par 624	(a) Is the form completed indicating file contents?
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<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (a) par 624	(b) Has the form been annotated to indicate file has been reviewed annually? NOTE: Annual reviews must be conducted by someone other than the person responsible for maintaining the files.	
Ref (a) par 609 and 624.a.(1)	(2) Concept of Honor (NSTC OD 1533/12) (example 6-10).	
Ref (a) par 608 and 624.a.(1)	(3) Acceptance and Oath of Office (NSTC OD 1533/11) (example 6-9). Is the Oath prepared for execution on commencement date of university classes, or orientation, to appoint scholarship students as midshipmen in the Naval Reserve? NOTE: Form must not be signed until the Drug and Alcohol Statement of Understanding has been signed.	
Ref (a) par 604.f.(2), 614 and 624.a.(2)	(4) Record of Emergency Data (DD Form 93) (example 6-7) or Dependency Application/Record of Emergency Data (NAVPERS 1070/602) (example 6-20). Is the information verified by the student annually, and is verification documented with student signature?	

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (a) par 615 and 624.a.(3)	(5) Service members' Group Life Insurance Election and Certification (SGLV) (VA Form 8286) (example 6-21). Is the insured amount \$400,000 (or less if student requests)? Are beneficiary addresses complete and legible?	
Ref (a) par 620 par 624.a.(4)	(6) Questionnaire for National Security Positions (SF86) (example 6-5) and Fingerprint Card (FD25A) (example 6-6). Are the SF86 and FD25A mailed to Office of Personnel Management (OPM) within 30 days of student reporting to unit?	
Ref (a) par 620.e	(a) Is a signed copy of the SF86 maintained in the Student File until the security clearance is finalized?	
Ref (a) par 620.e	(b) Is the JPAS Person Summary sheet establishing clearance eligibility (investigation type National Agency Check with Local Agency and Credit Checks (NACLC) maintained in the Student File?	



<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (a) par 624.a.(5)	(7) Original official correspondence initiated at the unit (e.g., complete PRB package, change of option, transfer requests, warnings, probations and LOA letters, etc.)	
Ref (a) par 624.a.(7)	(8) Proof of Scholarship Award. Is the Travel Authorization Letter or Official Mail Message awarding scholarship maintained in the Student File?	
Ref (a) par 604.f.(3) ; par 607.a; par 624.a.(8)	(9) <u>Drug and</u> <u>Alcohol Abuse Statement of</u> <u>Understanding (OPNAV</u> <u>5350/1)</u> (example 6-8).	
Assist Visit Trend Analysis	(a) Are blocks 1-5a ONLY initialed by the student?	
Assist Visit Trend Analysis	(b) Did the student, Certifying Official, and witness sign the form on the same date?	

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (a) par 607.a	(c) Was the drug statement signed prior to executing DD Form 4 (example 6-16), and Acceptance and Oath of Office for scholarship students (example 6-9), or the DD Form 4 and NROTC College Program Service Agreement (example 6-14) for College Program students in Advanced Standing?	
Ref (a) par 624.a.(9)	(10) Tattoo Screening Form (with copies of waivers, if applicable).	
Ref (a) par 611; par 624.a. (12)	(11) Enlistment/ <u>Reenlistment Agreement -</u> <u>Armed Forces of the United</u> <u>States (DD Form 4) (example</u> <u>6-16).</u> Is the original filed in the Student File, plus any extensions, <u>Agreement to Extend</u> <u>Enlistment (NAVPERS</u> <u>1070/621) (example 6-17),</u> if applicable.	
Ref (a) par 611.a	(a) Is the DD Form 4 executed for all Scholarship students?	

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Assist Visit Trend Analysis	(b) Corrections of any kind in items 5 (Date of Enlistment), 8 (Service, Period of Enlistment, and Pay Grade), 18b, 19b, 19f, 20a, 21a, 21f, 22c, 23b, and 23f are NOT authorized and will necessitate re-accomplishment of the document. Are other changes or corrections initialed by the student and sponsoring service representative?	
Ref (a) par 611.a	(c) Is the student obligated for 4 years beyond the estimated graduation date? If not, has an extension of the enlistment been executed?	
Ref (a) par 610.a; par 624.a. (11)	(12) NROTC Scholarship Service Agreement (NSTC 1533/5) (example 6-11); NROTC Nurse Scholarship Agreement (NSTC 1533/4) (example 6-13).	
	(a) Was the student a minor when the agreement was signed? If so, did a parent or guardian sign the form?	
Assist Visit Trend Analysis	(b) Did the student and witness sign the agreement on the same date?	

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (a) par 610.a and 624.a. (11)	(13) Recertification of NROTC Scholarship Service Agreement (NSTC 1533/17) (example 6-30).	
Ref (a) par 610.a and 624.a. (11)	(a) Did the scholarship student (includes nurses) review their original scholarship service agreement and acknowledge this review in writing (example 6-30)? NOTE: This form is required to be signed by 4- year scholarship students upon entering their second Naval Science year.	
Assist Visit Trend Analysis	(b) Did the student and witness sign the agreement review on the same date?	
Ref (a) par 624.a. (12)	(14) Are copies of previous Enlistment/ Reenlistment Agreement - Armed Forces of the United States (DD Form 4) (example 6-16) plus extensions (NAVPERS 1070/621) (example 6-17) for those students received from active duty or reserve status, filed in the Student File?	

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (a) par 602.d, 611.b-c and 624.a. (13)	(15) Are copies of Certificate of Release or Discharge from Active Duty (DD Form 214) (example 6- 31) for those students received from active duty, or a Request for Conditional Release (DD Form 368) (example 6-18) for students reporting from Reserve duty, maintained in the Student File?	
Ref (a) par 624.a. (14)	(16) General Purpose Privacy Act Statement Form (OPNAV 5211/12) (example 6-32). NOTE: No signature is required on this form.	
Ref (a) par 624.a.15	(17) Authorization for Release of Student Information (example 6-33) if granted by student.	
Ref (a) par 624.a. (16)	(18) Initial and disenrollment/termination travel orders or copies with all endorsements (less Leave and Earning Statements).	
b. <u>Right Side:</u>		
Ref (a) par 624.b.(1)	(1) Record of Disclosure (OPNAV 5211/9) (example 6-34).	
Ref (a) par 624.b. (2); par 810	(2) Individual NROTC Education Program Cost (NSTC 1533/50) (example 8-1).	

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (a) par 810.c	(a) Did the student acknowledge tuition/fee costs and sign the form as soon as possible after university invoices have been received and entered into WAWF?	
Ref (a) par 810	(b) Are tuition, book stipend, and fees recorded on the form?	
Ref (a) par 810.b	(c) Does the tuition amount recorded on this form match exactly the amount on the university invoice?	
Ref (a) par 810.d	(d) Are signatures and dates entered in ink?	
Ref (a) par 810.d	(e) Are all corrections or changes to tuition/fees initialed and dated in ink by the student? NOTE: Recommend a staff member witness and initial also.	
Ref (a) par 810	(f) Is LOA entered on the form when the student is assigned LOA? NOTE: Student does not sign cost form for periods of LOA.	

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (a) par 810.e.(1)	(g) Is a copy of the Individual NROTC Education Program Cost form of disenrolled students held in the unit files for 2 years?	
Ref (a) par 605; par 624.b.(3)	(3) Birth Certificate (legible copy) with annotation, "Original or certified true copy was sighted and verified by person who inspects the original". NOTE: This sighting and verification should only be conducted by the person responsible for maintaining the Student Files. In their absence, verifier must be an active duty staff member, O-4 or above. A passport is acceptable proof.	
Ref (a) par 603	(4) Certificate of Naturalization or Proof of Citizenship of Foreign Born, if applicable.	
Ref (a) par 624	4. College Program (Basic Standing) - Has a Student File been established for each College Program student in Basic Standing? Is the file organized as required?	
Ref (a) par 624	Student File Contents (College Program-Basic Standing)	

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
	a. <u>Left Side:</u>	
Ref (a) par 624.a.(1)	(1) Does each Student File contain an NROTC Student File Index (NSTC 1070/6) (example 6- 29)?	
Ref (a) par 624	(a) Is the form completed indicating file contents?	
Ref (a) par 624	(b) Has the form been annotated to indicate file has been reviewed annually? NOTE: Annual reviews must be conducted by someone other than the person responsible for maintaining the files.	
Ref (a) par 624.a.(1)	(2) Concept of Honor (NSTC OD 1533/12) (example 6-10).	
Ref (a) par 614 and 624.a.(2)	(3) Record of Emergency Data (DD Form 93) (example 6-7) or Dependency Application/Record of Emergency Data (NAVPERS 1070/602) (example 6-20). Is the information verified by the student annually, and is verification documented with student signature?	



<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (a) par 624.a.(5)	(4) Original official correspondence initiated at the unit (e.g., complete PRB package, change of option, transfer requests, warnings, probations and LOA letter, etc.)	
Ref (a) par 624.a.(6)	(5) NROTC College Program Application (NSTC 1533/21) (example 6-2).	
Ref (a) par 604.f.(3) ; par 607.a; par 624.a.(8)	(6) <u>Drug and Alcohol Abuse Statement of Understanding (OPNAV 5350/1) (example 6-8).</u>	
Ref (a) par 624.a.(9)	(7) Tattoo Screening Form (with copies of waivers, if applicable).	
Ref (a) par 624.a. (14)	(8) General Purpose Privacy Act Statement (OPNAV 5211/12) (example 6- 32). NOTE: No signature is required on this form.	
b. <u>Right Side:</u>		
Ref (a) par 624.b.(1)	(1) Record of Disclosure (OPNAV 5211/9) (example 6-34).	

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (a) par 605; par 624.b.(3)	(2) Birth Certificate (legible copy) with annotation, "Original or certified true copy was sighted and verified by person who inspects the original". NOTE: This sighting and verification should only be conducted by the person responsible for maintaining the Student Files. In their absence, verifier must be an active duty staff member, O-4 or above. A passport is acceptable proof.	
Ref (a) par 603	(3) Certificate of Naturalization or Proof of Citizenship of Foreign Born, if applicable.	
	(4) Report of Medical History (DD 2351). Filed in the Student File ONLY if a health record has not been established.	
Ref (a) par 501.e	(5) Sports physical or equivalent. Filed in Student File ONLY if a health record has not been established.	
Ref (a) par 510	(6) <u>Annual Physical Condition Certificate (NSTC 6220/8)</u> (example 5-4). Filed in Student File ONLY if a health record has not been opened yet.	

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (a) par 624	5. College Program (Advanced Standing) - Has a Student File been established for each College Program student in Advanced Standing? Is the file organized as required?	
Ref (a) par 624	Student File Contents (College Program - Advanced Standing)  a. <u>Left Side:</u>	
Ref (a) par 624.a.(1)	(1) Does each Student File contain an NROTC Student File Index (NSTC 1070/6) (example 6- 29)?	
Ref (a) par 624	(a) Is the form completed indicating file contents?	
Ref (a) par 624	(b) Has the form been annotated to indicate file has been reviewed annually? NOTE: Annual reviews must be conducted by someone other than the person responsible for maintaining the files.	
Ref (a) par 624.a.(1)	(2) Concept of Honor (NSTC OD 1533/12) (example 6-10).	

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (a) par 614 and 624.a.(2)	(3) Record of Emergency Data (DD Form 93) (example 6-7) or Dependency Application/Record of Emergency Data (NAVPERS 1070/602) (example 6-20). Is the information verified by the student annually, and is verification documented with student signature?	
Ref (a) par 615 and 624.a.(3)	(4) SGLV (VA Form 8286) (example 6-21). Is the insured amount \$400,000 (or less if student requests)? Are beneficiary addresses complete and legible?	
Ref (a) par 620.b par 624.a.(4)	(5) Questionnaire for National Security Positions (Standard Form 86) (example 6-5) and Fingerprint Card (FD25A) (example 6-6). Are the SF86 and FD25A mailed to OPM within 30 days of student reporting to unit?	
Ref (a) par 620.e	(a) Is a signed copy of the Standard Form 86 maintained in the Student File until the security clearance is finalized?	
Ref (a) par 620.e	(b) Is the JPAS Person Summary sheet establishing clearance eligibility (investigation type NACLC) maintained in the Student File?	

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (a) par 624.a.(5)	(6) Original official correspondence initiated at the unit (e.g., complete PRB package, change of option, transfer requests, warnings, probations and LOA letters, etc.)  (7) NROTC College Program Application (CNET 1533/21) (example 3-1).	
Ref (a) par 604.f.(3) ; par 607.a; par 624.a.(8)	(8) <u>Drug and</u> <u>Alcohol Abuse Statement of</u> <u>Understanding (OPNAV</u> <u>5350/1)</u> (example 6-8).	
Ref (a) par 611; par 624.a. (12)	(9) <u>Enlistment/</u> <u>Reenlistment Agreement -</u> <u>Armed Forces of the United</u> <u>States (DD Form 4)</u> (example 6-16). Is the original filed in the Student File, plus any extensions, <u>Agreement to Extend</u> <u>Enlistment (NAVPERS</u> <u>1070/621)</u> (example 6-17), if applicable?  (a) Is the DD Form 4 executed for all College Program students granted Advanced Standing?	

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
	(b) Corrections of any kind in items 5 (Date of Enlistment), 8 (Service, Period of Enlistment, and Pay Grade), 18b, 19b, 19f, 20a, 21a, 21f, 22c, 23b, and 23f are NOT authorized and will necessitate re-accomplishment of the document. Are other changes or corrections initialed by the student and sponsoring service representative?	
Ref (a) par 611.a	(c) Is the student obligated for 4 years beyond the estimated graduation date? If not, has an extension of the enlistment been executed?	
Ref (a) par 610.b	(10) NROTC College Program Service Agreement (NSTC 1533/3) (example 6-14).	
	(11) Are copies of previous Enlistment/ Reenlistment Agreement - Armed Forces of the United States (DD Form 4) (example 6-16) plus extensions (NAVPERS 1070/621) (example 6-17) for those students received from active duty or Reserve status, filed in the Student File?	

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (a) par 624.a. (13)	(12) Are copies of Certificate of Release or Discharge from Active Duty (DD Form 214) (example 6- 31) for those students received from active duty, or a Request for Conditional Release (DD Form 368) (example 6-18) for student reporting from Reserve duty, maintained in the Student File?	
Ref (a) par 624.a. (14)	(13) General Purpose Privacy Act Statement (OPNAV 5211/12) (example 6-32). NOTE: No signature is required on this form.	
Ref (a) par 624.a.15	(14) Authorization for Release of Student Information (example 6-33) if granted by student.	
	b. <u>Right Side:</u>	
Ref (a) par 624.b.(1)	(1) Record of Disclosure (OPNAV 5211/9) (example 6-34).	

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (a) par 605; par 624.b.(3)	(2) Birth Certificate (legible copy) with annotation, "Original or certified true copy was sighted and verified by person who inspects the original". NOTE: This sighting and verification should only be conducted by the person responsible for maintaining the Student Files. In their absence, verifier must be an active duty staff member, O-4 or above. A passport is acceptable proof.	
Ref (a) par 603	(3) Certificate of Naturalization or Proof of Citizenship of Foreign Born, if applicable.	



Functional Category: Student Performance/Administrative Files

Assessable Unit: Performance Review Boards (Student Files)

<u>Reference</u>	<u>Guiding Directive</u>	<u>Subject</u>
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(a)	<a href="#">NSTCINST 1533.2</a>	Regulations for OD
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<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
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1. Is a copy of the "Performance Review Boards" section of the last unit self-inspection and assist visit report on file with the staff member responsible for this Assessable Unit?

2. Have all discrepancies identified been corrected? If not, then why?

Ref (a) par 711.e.(3); 712.c-d	3. Was the student notified in writing at least 7 days prior to convening of the PRB (example 7-8)? If student waived the 7 day advanced notice requirement, was the waiver documented in writing?	
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Ref (a) par 711.e.(3)	4. Did the student sign and date the notification to show proof of delivery? If student refused to sign, was refusal documented?	
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Ref (a) par 711.e.(3)	5. Was the student provided copies of all documents that may be presented against them during board proceedings?	
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<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (a) par 710.b; 712.a. (1-4)	6. Was the student advised of the right to appear before the board, submit a written statement, present documents or witnesses in their behalf (at own expense), and to review their Student Performance File prior to the board convening?	
Ref (a) par 712.b	7. Was the student advised of alternative decisions the board may recommend, and that in the case of disenrollment, recoupment or active enlisted service could apply?	
Ref (a) par 714.a- b	8. Were the board findings forwarded from the senior member to the Professor of Naval Science for endorsement? (example 7-9) NOTE: PNS cannot endorse the report if they testified during proceedings. Seek guidance from OD.	
Ref (a) par 714.a	9. Did the Report of the PRB indicate names and titles of those present, date of board, findings, recommendations; and did all voting members sign the report?	
Ref (a) par 714.a	10. Does the Report of Performance Review Board proceedings include the following enclosures:	

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
	a. Appointing Memorandum?	
	b. Student notification letter, including acknowledgement?	
	c. Privacy Act Statement (signed)(example 7-7)?	
	d. Results of the informal preliminary investigation (if applicable)?	
	e. A copy of all documents considered by the board, including those submitted by the student, and witness testimony summaries?	
Ref (a) par 714.c	11. Is the Report of PRB, with PNS endorsement, included in the Student File, including all enclosures? (original)	
Ref (a) par 711.e.(6)	12. Was a copy of the Report of PRB with endorsement delivered to the student not later than 7 days after board proceedings?	
Ref (a) par 714.c	13. Did the student acknowledge receipt of the Report of PRB in writing?	

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (a) par 714.c	14. Was the student afforded 7 days from receipt of the report to provide a written response to the PNS for inclusion in the Report of PRB package?	
Ref (a) par 211	15. Was the student advised of the Report of PRB Appeal Process?	

Functional Category: Support Services

Assessable Unit: Medical Records

<u>Reference</u>	<u>Guiding Directive</u>	<u>Subject</u>
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(a)	<a href="#">NSTCINST 1533.2</a>	Regulations for OD
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<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
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1. Is a copy of the "Medical Record" section of the last unit self-inspection and assist visit report on file with the staff member responsible for this Assessable Unit?

2. Have all discrepancies identified been corrected? If not, then why?

Ref (a) par 512.a	3. Medical Record Contents. NOTE: Records must be established for Scholarship and College Program students in Advanced Standing. Active Duty student records shall be maintained by the unit.	
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Ref (a) par 512.b	a. Are the following forms contained in the Medical Record?	
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b. Left Side - Part 1:

Ref (a) par 512.b.(1) (b)	(1) <u>Immunization Record (SF 601)(example 5-5) or civilian equivalent</u>	
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<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (a) par 512.b.(1) (c)	(2) <u>Record of Occupational Exposure to Ionizing Radiation (NAVMED 6470/10)</u> , required if midshipman has been exposed to ionizing radiation.  c. <u>Right Side - Part 2:</u>	
Ref (a) par 512.b.(2) (b)	(1) <u>Chronological Record of Medical Care (SF 600)</u> , if provided.  d. <u>Left Side - Part 2:</u>  (1) <u>Report of Medical Examination, DD 2351</u> . NOTE: All scholarship and College Program (Advanced Standing) should have DoD Medical Examination Review Board (DoDMRB) entry physical examinations in their record. College Program (Basic Standing) students must have a sports physical or equivalent (DD 2351, DD 2807-1, SF 88).  (2) <u>Report of Medical History, (DD 2492)</u> . NOTE: All scholarship and College Program (Advanced Standing) students should have DoDMERB entry medical history forms. College Program (Basic Standing) students should have one of the following: DD 2807-1, DD 2492 or SF 93.	

<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
Ref (a) par 510	(3) <u>Annual Physical Condition Certificate (NSTC 6220/8)</u> (example 5-4).	
Ref (a) par 503.a	(a) Do all students complete a certificate in the fall term, <u>prior</u> to the first unit-directed physical training activity?	
Ref (a) par 510.a	(b) Do seniors and 5th year students complete this form again during their last academic term, prior to graduation?	
Ref (a) par 510.a-b	(c) In the event a student answers "yes" to any of the 4 questions on page 2, does the PNS review and sign the form? If there is any doubt as to the severity of a disclosed injury or effects of a prescription that could be a disqualifying factor, was Bureau of Medicine and Surgery (BUMED) contacted prior to CO signature?	
Ref (a) par 512.b.(3) (d)	(4) <u>Privacy Act Statement - Health Care Records (DD 2005) - pre-printed on record</u> (example 5-18). Is the statement signed, dated; and is the SSN included?	

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Functional Category: Support Services

Assessable Unit: Dental Records

<u>Reference</u>	<u>Guiding Directive</u>	<u>Subject</u>
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(a)	<a href="#">NSTCINST 1533.2</a>	Regulations for OD
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<u>Reference</u>	<u>Requirements</u>	<u>Inspector Comments</u>
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Ref (a) par 512.c	1. Dental Record Contents. NOTE: Dental records need only be established if student provides dental documents/records. Active Duty student records shall be maintained by the unit.	
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a. Left Side:

(1) Dental X-rays, if available

(2) Report of Dental Exam (DD 2480) or civilian equivalent; if available

(3) Privacy Act Statement (DD 2005) pre-printed on record (example 5-18). Is the statement signed, dated; and is the SSN included?

b. Right Side:

(1) Record of Dental Care (SF 603), if available

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Appendix A

Naval Service Training Command  
Physical Security Survey Checklist for NROTC Units

The purpose of this checklist is to provide NROTC Unit security officers and management personnel with guidelines for evaluating the adequacy of overall security programs. This checklist is not intended to be all-inclusive. The checklist is taken from OPNAVINST 5530.14D, with deleted portions not applicable to NROTC Units.

Unit Being Surveyed

UIC: \_\_\_\_\_

Each unit shall conduct physical security self-surveys at least annually. Units will maintain Physical Security Surveys for 3 years. The Physical Security Survey must address all NROTC facilities to include Memorandums of Understanding (MOUs) with the university.

1. Answer each question with a "YES" or "NO" or "N/A" as appropriate.
2. If a requirement is applicable but a waiver or exception has been approved or requested, check the "N/A" column and make reference to the approving authority or requesting document, including the waiver or exception number.
3. "REF" column in checklist refers to paragraphs/appendices contained in OPNAVINST 5530.14D, unless otherwise indicated.

Chapter 1 - Introduction

Requirements

Inspector Comments  
Yes No N/A Ref

1. Does the NROTC Unit have access to OPNAVINST 5530.14D?

2. Do the command's orders and directives cover all applicable aspects of security operations as outlined in OPNAVINST 5530.14D?

0102 b

Chapter 2 - Physical Survey

<u>Requirements</u>	<u>Inspector Comments</u>			
	Yes	No	N/A	Ref
1. Are physical security surveys of the unit conducted per OPNAVINST 5530.14D?				0201
2. Does the unit have an effective after hours/weekends restricted area(s) security check?				0202
3. Are results of unsatisfactory security checks promptly reported to the NROTC unit security officer?				0202
4. Does the NROTC Unit have a current physical security program?				0207
5. Is a security officer designated in writing? (Collateral duty list assignment is sufficient)				0207
6. Is liaison with local law enforcement agencies maintained regarding local threat?				0208
7. Does the unit have a current employee security education program addressing physical security and loss prevention measures?				0209
8. Are all newly assigned personnel presented security indoctrination?				0209
9. Is refresher security training provided to ensure personnel remain mindful of and proficient in meeting their security responsibilities?				0209
10. Is training documented?				0209

Chapter 3 - Law Enforcement

Chapter 3 of OPNAVINST 5530.14D is not applicable for NROTC Units. All law enforcement functions are performed by civilian campus and/or local police.

Chapter 4 - Security and Law Enforcement Planning

<u>Requirements</u>	<u>Inspector Comments</u>
Yes No N/A Ref	
1. Is the security plan integrated with Terrorist incident response planning and emergency management planning?	0400

Chapter 5 - The Security Force

<u>Requirements</u>	<u>Inspector Comments</u>
Yes No N/A Ref	
1. Does the NROTC Unit have a MOU with the campus police for security of their assigned areas within the college campus?	0507 c.(5)

Chapter 6 - Security and Law Enforcement Occupations and Training

Chapter 6 of OPNAVINST 5530.14D is not applicable for NROTC Units, as they do not have law enforcement occupations.

Chapter 7 - Security Force Staffing

Chapter 7 of OPNAVINST 5530.14D is not applicable for NROTC Units, as they do not have a security force.

Chapter 8 - Legal Aspects

Chapter 8 of OPNAVINST 5530.14D is not applicable for NROTC Units. All law enforcement functions are performed by civilian campus and/or local police. The security officer should seek guidance from the command legal office regarding law enforcement actions taken against members of the command by outside authorities.

#### Chapter 9 - Response To Acts Of Terrorism

Chapter 9 of OPNAVINST 5530.14D is not applicable for NROTC Units, as they do not have a security force. Training for individuals concerning security and terrorism is covered in Chapter 2.

#### Chapter 10 - External Entry Control and Restricted Area Access Control

Chapter 10 of OPNAVINST 5530.14D is not applicable for NROTC Units. Since all NROTC units are located within a college or university campus, access is not controlled by the Department of the Navy or any other government agency. All outer perimeter security is controlled by campus police. Due to the small amount of assigned personnel, personal recognition is the best form of security and should be employed by all NROTC units. Personnel finding unauthorized individuals within the NROTC unit should contact the security officer and campus police.

#### Chapter 11 - Emergency Management

The Security planning should be integrated with emergency management planning. This requirement has already been addressed under chapter 4 above.

#### Chapter 12 - Investigations

Chapter 12 of OPNAVINST 5530.14D is not applicable for NROTC Units. Commands will cooperate with Naval Criminal Investigative Service (NCIS) during investigations.

#### Chapter 13 - Use Of Force And Weapons Policies

Chapter 13 of OPNAVINST 5530.14D is not applicable for NROTC Units, since they do not have a security force.

#### Chapter 14 - Emergency Vehicles

Chapter 14 of OPNAVINST 5530.14D is not applicable for NROTC Units, since they do not have a security unit or emergency vehicles.

Chapter 15 - Security Force Communications

Chapter 15 of OPNAVINST 5530.14D is not applicable for NROTC Units, since they do not have a security force.

Chapter 16 - Incident Reporting and the Navy Security Network

<u>Requirements</u>	<u>Inspector Comments</u>			
	Yes	No	N/A	Ref
1. Are violations that fall within the case categories listed in table 16-1 forwarded to NCIS?				1604

Chapter 17 - Public Affairs

<u>Requirements</u>	<u>Inspector Comments</u>			
	Yes	No	N/A	Ref
1. Are all contacts by the media referred to the Public Affairs Officer?				1700

Chapter 18 - High Risk Incidents

While Commanders have the authority to handle certain high risk incidents that are criminal in nature, the Navy policy is to fully comply with the lead agency concept by yielding to civilian authorities. The primary Navy goal in dealing with these high-risk situations is to prevent or minimize loss of life and property by containment, negotiation and referral when necessary.

Chapter 19 - The Security Officer

<u>Requirements</u>	<u>Inspector Comments</u>			
	Yes	No	N/A	Ref
1. Are appropriate waivers and exceptions approved and on file for all physical security deficiencies that cannot be readily corrected?				1902 and App XIII

Appendix IX - Arms, Ammunition and Explosive Security

Requirements

Inspector Comments

Yes No N/A Ref

1. Are security measures in effect to protect AA&E?

OPNAVINST  
5530.13C

2. Do all security containers, vaults, and strong rooms conform to standards?

OPNAVINST  
5530.13C  
301

3. Are annual AA&E Physical Security Surveys conducted and retained for 3 years?

APP IX  
Para 5;  
OPNAVINST  
5530.13C  
208



Student Performance File Review

LEFT SIDE			RIGHT SIDE					
NAME	FITNESS REPORT & COUNSELING RECORD (NAVPERS 1610/2)	OCS SIX WEEK PROGRAM STATEMENT OF UNDERSTANDING	STUDENT FILE INFO DATA (WG F84R01)	NROTC PROGRAM REQUIREMENTS CHECKLIST (LOCAL FORM)	NROTC STUDENT PERFORMANCE RECORD, ROD EXAMPLE 7-4 OR LOCAL FORM	ACADEMIC PLANNING SCHEDULE, ROD EXAMPLE 7-3 OR LOCAL FORM	TERM ACADEMIC PERFORMANCE EVALUATION, ROD EXAMPLE 7-5 OR LOCAL FORM	ACADEMIC TRANSCRIPT, INCLUDING SUMMER SCHOOL

NSTCINST 5040.1A  
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Student File Review

LEFT SIDE										RIGHT SIDE									
NAME	ALL NROTC STUDENT FILE INDEX (NSTC 1070/6)	ALL CONCEPT OF HONOR (NSTC 1533/12)	SCH ACCEPT & OATH OF OFFICER (NSTC 1533/11)	ALL RECORD OF EMERGENCY DATA (NAVPERS 1070/602) or (DD 93)	ALL LESS CP BASIC SGLV VA FORM 8286 SGLIBEN DESIG	ALL SF 86 or JPAS PERSON SUMMARY with SF 312	ALL ORIGIN WARNING, PROB, LOA & PRB DOCUMENTS	ALL NROTC SCH AWARD LTR, CP APP, ADV ST MSG or MMR/US NR APP	ALL DRUG AND ALCOHOL ABUSE STATEMENT (OPNAV 5350/1)	ALL TATTOO SCREENING FORM & WAIVER	ALL LESS CP BASIC ENLIST/REENLIST DOC (DD 4) & (NAVPERS 1070/621) (if applicable)	ALL LESS CP BASIC NROTC SCH, NROTC NURSE SCH, NROTC CP SVC AGREEMENT or (MA-FORM 889/890)	4-YR SCH ONLY (SOPH) CERT OF NROTC SVC AGREEMENT REVIEW	SCH/CP ADV PRIOR SERVICE (DD 214) or (DD 368)	ALL GENERAL PURPOSE PRIVACY ACT (OPNAV 5211/12)	ALL RECORD OF DISCLOSURE (OPNAV 5211/9)	SCH INDIVIDUAL NROTC PROGRAM COST FORM (NSTC 1533/50)	ALL BIRTH CERT, NAT. CERT or U. S. PASSPORT	

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Medical/Dental Record Review

MEDICAL RECORDS (ALL LESS COLLEGE PROG BASIC STANDING)										DENTAL RECORDS (IF AVAILABLE)			
NAME	IMMUNIZATION RECORD SF 601, PHS 731 or CIVILIAN EQUIV.	RECORD OF OCCUPATIONAL EXPOSURE NAVMED 6470/10 (if applicable)	CHRONOLOGICAL RECORD OF MEDICAL CARE SF 600 (if available)	REPORT OF MED EXAM DD 2351	REPORT OF MEDICAL HISTORY DD 2492	BUMED WAIVER LTRS with NSTC/OD ENDORSEMENT	ANNUAL PHYSICAL CONDITION CERTIFICATE NSTC 6220/8	SIGNED PRIVACY ACT STATEMENT HEALTH RECORD DD 2005	EKG, X- RAYS AND LAB REPORTS (if available)	DENTAL X-RAYS (if available)	REPORT OF DENTAL EXAM DD 2480 (if available)	SIGNED PRIVACY ACT STATEMENT HEALTH RECORD DD 2005	RECORD OF DENTAL CARE SF 603 or CIVILIAN EQUIV. (if available)

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Glossary

LIST OF FREQUENTLY USED ACRONYMS IN THIS INSTRUCTION

<u>Acronym</u>	<u>Definition</u>
AA&E	Ammunition and Explosives
ADP	Automatic Data Processing
AO	Approving Officer
APC	Agency Program Coordinator
ATR	Ammunition Transaction Reports
BUMED	Bureau of Medicine and Surgery
BUPERS	Bureau of Naval Personnel
CMEQ	Command managed Equal Opportunity
CO(s)	Commanding Officer(s)
CPPD	Center for Personal and Professional Development
DAARs	Drug and Alcohol Abuse Reports
DAPA	Drug Abuse Program Advisor
DAU	Defense Acquisition University
DFARS	Defense Federal Acquisition Regulation Supplement
DNS	Department of Naval Science
DoD	Department of Defense
DoDMERB	Department of Defense Medical Examination Review Board
DoN	Department of Navy
DTS	Defense Travel System
EEO	Equal Employment Opportunity
EO	Equal Opportunity
FAR	Federal Acquisition Regulation
FITREPS	Fitness Reports
GCPC	Government Commercial Purchase Card
GMT	General Military Training
GSA	General Services Administration
IDS	Intrusion Detection System
IG	Inspector General
JPAS	Joint Personnel Adjudication System
JUMS	Joint Unit Management System
LOA	Leave Of Absence
MIC	Managers' Internal Control
MICP	Managers' Internal Control Program
MILSTRIP	Military Standard Requisitioning and Issue Procedures
MOU(s)	Memorandum(s) of Understanding
MRE(s)	Meal(s) Ready to Eat
NACLC	National Agency Check with Local Agency and Credit Checks

<u>Acronym</u>	<u>Definition</u>
NAPS	Naval Acquisition Procedures Supplement
NAVPERS	Naval Personnel
NAVSURFWARCEN	Naval Surface Warfare Center
NAVWPNSUPPCEN	Naval Weapon Support Center
NCIS	Naval Criminal Investigative Service
NETC	Naval Education & Training Command
NETPDTC	Naval Education & Training Professional Development & Technology Center
NJROTC	Naval Junior Reserve Officer Training Command
NROTC	Naval Reserve Officer Training Command
NSI	Naval Science Instructor
NSTC	Naval Service Training Command
OCS	Officer Candidate School
OD	Officer Development
ODM	Officer Development Inspection & Standards Office
OIC(s)	Officer(s) in Charge
OMN	Operation and Maintenance, Navy
OPM	Office of Personnel Management
OPMIS	Officer Program Management Information System
OPTAR	Operating Target
OSHA	Occupational Safety and Health Administration
PARFQ	Physical Activity Risk Factor Questionnaire
PFA	Physical Fitness Assessment
PMR	Procurement Management Review
PMS	Prevention Maintenance System
PNS	Professor of Naval Science
POSH	Prevention of Sexual Harassment
PPE	Personal Protective Equipment
PRB	Performance Review Board
PRT	Physical Readiness Test
SGLV	Service Members' Group Life Insurance Election & Certification
SOPs	Standard operating Procedures
SSN	Social Security Number
TOTM(s)	Tailored Operational Training Meal(s)
TTO	Training Time Out
UPC	Urinalysis Program Coordinator
WAWF	Wide Area Work Force
XO(s)	Executive Officer(s)



NROTC Self Assessment Report

(SAMPLE FORMAT)

FUNCTIONAL CATEGORY: Student Performance/Administrative Files

ASSESSABLE UNIT: Performance Review Boards (Student File)

REFERENCE: (a) NSTCINST 1533.2

FINDING:

1. Several students were not afforded the required minimum 7-day advanced notice of PRB. Reference (a), paragraph 712.c, states the student shall be notified in writing at least seven days prior to the convening of a PRB, and the notification should be delivered in person, normally by the class advisor or another staff officer, or by certified mail only if the student is not in the immediate area. Additionally, a copy of the notification letter, including signed and dated proof of delivery shall be added to the board report.

CORRECTIVE ACTION PLAN:

1. Unit has changed its PRB notification process by requiring the student's advisor to ensure required 7-day advanced notification is made and acknowledged in writing.

PROJECTED DATE OF COMPLETION: Completed